Carnegie Mellon
Software Engineering Institute

People Capability Maturity Model® (P–CMM®)

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The ideas and findings in this report should not be construed as an official DoD position. It is published in the interest of scientific and technical information exchange.

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FOR THE COMMANDER

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Workgroup Development

A process area at Maturity Level 3: Defined

Purpose	**The purpose of Workgroup Development is to organize work around competency-based process abilities.**
Description	As used in the People CMM, a *workgroup* is a collection of people who work closely together on tasks that are highly interdependent to achieve shared objectives. A workgroup reports to a responsible individual who may be involved in managing its day to day activities.
	Responsible individuals analyze the work within a unit or set of related units to identify the dependencies among tasks. Work can then be designed around workgroups that maximize the interdependency of tasks within the workgroup and minimize dependencies with other workgroups.
	The organization defines common workgroup methods and procedures to be used in performing standard activities that occur in most groups, such as problem solving or holding meetings. The workgroup tailors these processes along with those from the workforce competencies represented in the workgroup into a process to be used in planning and performing its business activities. Workgroups tailor the defined roles that must be performed within its processes and assign them to workgroup members.
	Workgroup members work with each other to coordinate dependencies and ensure adequate flow of information. They also work on developing their workgroup skills and improve the workgroup's effectiveness. When a workgroup shares dependencies with other workgroups or organizational entities, it interacts with them to define interfaces to coordinate their activities and commitments.
	A responsible individual ensures the workgroup develops documented performance objectives, and that these objectives are allocated to each of its members. Responsible individuals manage workgroup performance and

track the status of work. When a workgroup's business activities are complete, it is disbanded using an orderly process that preserves its assets, completes required workforce activities, and ensures appropriate work assignments for each of its departing members.

Goals

Goal 1   **Workgroups are established to optimize the performance of interdependent work.**

Goal 2   **Workgroups tailor defined processes and roles for use in planning and performing their work.**

Goal 3   **Workgroup staffing activities focus on the assignment, development, and future deployment of the organization's workforce competencies.**

Goal 4   **Workgroup performance is managed against documented objectives for committed work.**

Goal 5   **Workgroup Development practices are institutionalized to ensure they are performed as defined organizational processes.**

Commitment to Perform

Commitment 1   **The organization establishes and maintains a documented policy for conducting Workgroup Development activities.**

Issues typically addressed in the policy include:

1. Workgroup Development serves the business objectives and stated values of the organization.

2. Workgroup Development activities are planned within units and are included in the strategic workforce plan.

3. Workgroups are organized to perform interdependent tasks that constitute some of the organization's business activities.

4. Procedures are defined, documented, and used for guiding the organization's Workgroup Development activities.

   These procedures typically specify:

   ❏ how work is analyzed and designed to expedite its performance in workgroups,

   ❏ how workgroups are staffed,

   ❏ how workgroups establish performance objectives and work commitments,

   ❏ how workgroup skills are developed and maintained,

   ❏ how workgroup performance is managed, and

   ❏ how workgroups are dissolved, when appropriate.

5. Workgroup Development practices and activities comply with relevant laws, regulations, and organizational policies.

   > Human resources or other appropriate professionals are consulted to ensure that Workgroup Development activities comply with all relevant laws, regulations, and organizational policies.

Commitment 2 **An organizational role(s) is assigned responsibility for coordinating Workgroup Development activities across the organization.**

Commitment 3 **Workgroup Development activities are incorporated into the organization's strategic workforce plan and the planned workforce activities within units.**

Ability to Perform

Ability 1 **Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate in Workgroup Development activities, as appropriate.**

Ability 2 **Adequate resources are provided for performing Workgroup Development activities.**

1. The organization's workforce competencies are defined.

> Refer to Practices 3 and 5 of the Competency Analysis process area for a description of the practices that produce descriptions of the process abilities of each of the organization's workforce competencies.

2. Workforce competency descriptions and competency-based processes are available for use in Workgroup Development activities.

> Refer to the Competency Analysis process area regarding practices that produce descriptions of the organization's workforce competencies and competency-based processes.

3. Experienced individuals who have expertise relevant to Workgroup Development are made available for developing workgroups.

> Examples of individuals with expertise in Workgroup Development include the following:
>
> - Human resources or other appropriate professionals
> - Training or other development staff
> - Group trainers or facilitators
> - Quality or process improvement staff
> - Individuals from successful workgroups

4. Resources for supporting Workgroup Development activities are made available. The resources provided to workgroups should be:

   ❏ selected for their support of the workgroup's defined processes,

   ❏ integrated into the defined processes and other work-related activities of the workgroup, and

   ❏ consistent across dependent workgroups to the extent possible.

> Examples of resources to support Workgroup Development activities include the following:
>
> - Space for group meetings
> - Furniture and other physical resources for supporting workgroup meetings and activities
> - Voice and electronic communication equipment
> - Electronic access and tools for supporting virtual workgroups
> - Transportation in support of workgroup activities
> - Workgroup management tools and resources
> - Workgroup planning and estimating tools
> - Tools for managing process and role definitions

5. Funding to accomplish Workgroup Development activities is made available.

6. Adequate time is made available for training and facilitation in workgroup skills.

Ability 3   **Responsible individual(s) to whom the members of a workgroup are accountable develop the knowledge, skills, and process abilities needed to manage workgroups.**

> Examples of relevant workgroup management skills in which responsible individuals might be trained include the following:
>
> - Establishing performance objectives for a workgroup's committed work that are drawn from the unit's performance objectives
>
> - Technical and competence-based aspects of the work assigned to a workgroup
>
> - Competency-based roles and processes
>
> - Procedures for estimating, planning, and tracking group work based on defined workgroup roles and processes
>
> - Methods for applying workforce activities, such as staffing, performance management, recognition and reward, and competency development, to workgroups
>
> - Methods for managing the performance of individuals within the workgroup context
>
> - Methods for coaching and facilitating workgroups

Ability 4   **Workgroup members receive appropriate guidance or training in workgroup skills.**

> Examples of relevant workgroup skills may include the following:
>
> - Workgroup formation and member selection
> - Stages of workgroup development
> - Tailoring competency-based workgroup processes
> - Role and task definition
> - Group dynamics
> - Workgroup leadership and decision making
> - Establishing and managing workgroup performance objectives
> - Workgroup communication and coordination
> - Resolving workgroup problems and conflicts
> - Cross-training in various roles and responsibilities

Ability 5   **The practices and procedures for performing Workgroup Development are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.

2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.

3. The individual(s) assigned responsibility for coordinating Workgroup Development activities across the organization ensures that defined practices and procedures are:

   ❏ maintained under version control,

   ❏ disseminated through appropriate media,

   ❏ interpreted appropriately for different situations, and

   ❏ updated through orderly methods.

4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing Workgroup Development practices are captured to support the future use and improvement of the organization's practices.

Practices Performed

Practice 1   **The committed work within a unit is analyzed to identify its process dependencies.**

1. Those responsible for the performance of a unit analyze its committed work to identify the dependencies required to accomplish it.

> Examples of sources of dependencies in a unit's committed work include the following:
>
> - Competency-based process abilities of those performing the work
> - Defined workflows and other processes within the organization
> - Dependencies shared with individuals or workgroups in other units
> - Work rules captured in automated systems
> - Knowledge of those performing the unit's work

2. The process dependencies within a unit's committed work are documented.

Practice 2   **Committed work is structured to optimize the coordination and performance of interdependent work within workgroups.**

1. Committed work is organized and allocated to workgroups to:
   - ❑ ensure each workgroup performs a defined collection of interdependent tasks,
   - ❑ ensure no workgroup is assigned more work than it can accomplish,
   - ❑ optimize the gathering of task dependencies within a workgroup,
   - ❑ minimize task dependencies across workgroups, and
   - ❑ ensure coordination of task dependencies with workgroups in other units.

2. Workgroups are organized to perform a defined collection of interdependent tasks.

3. The committed work in a unit is periodically reevaluated to determine whether it continues to be allocated across workgroups in a way that optimizes the coordination and performance of interdependent work.

Practice 3 **Each workgroup is formed to perform a defined set of business activities and to accomplish defined objectives.**

> Workgroups are frequently composed of people from a single unit. Even when contained within one unit, workgroups may occasionally include one or two members from other units who are required for specific tasks. However, workgroups can form outside unit boundaries with members from several units. When workgroup membership extends to several units, workgroup reporting and accountability must avoid creating conflicts between individual and workgroup reporting relationships.

1. A responsible individual(s) organizes each workgroup to perform a set of defined business activities.

> Refer to Practices 9 and 13 of this process area for information regarding how workgroup performance objectives may be established and documented through the workgroup planning process, and how the workgroup establishes performance objectives with the manager or supervisor to whom it reports.

2. Each workgroup is chartered to perform a documented set of business activities and to accomplish defined objectives.

> Topics addressed in the charter for a workgroup typically include the following:
>
> - Workgroup purpose
> - Assigned business activities
> - Defined objectives
> - Detailed responsibilities, where applicable
> - Boundaries
> - Resources available
> - Identification of the individuals responsible for tracking and managing workgroup performance.

3. Each workgroup's assigned business activities and objectives are periodically reviewed to ensure:

    ❏ the activity of the workgroup remains aligned with its chartered business activities and objectives,

❏ the workgroup's business activities and objectives remain aligned with the organization's objectives, and

❏ corrective action is taken to address misalignments.

Practice 4 **Methods and procedures for performing common workgroup functions are defined and maintained for use by workgroups.**

> Although workgroups will differ in the competencies composing them and the responsibilities they are assigned, they nevertheless perform some common activities for which the organization can provide common methods and procedures.
>
> Examples of common workgroup functions performed by workgroups include the following:
>
> - Negotiating work commitments
> - Brainstorming
> - Problem-solving
> - Resolving conflicts

1. Methods, procedures, and tailoring guidelines for performing common workgroup functions are established and maintained.

> Examples of artifacts to be maintained to support common workgroup methods and procedures include the following:
>
> - Method or procedure definitions
> - Templates and forms
> - Tailoring guidelines for use in adapting the methods and procedures for use in different types of workgroups
> - Sample artifacts produced in applying the methods and procedures
> - Materials for training the methods and procedures
> - Case studies of how the methods and procedures have been applied

2. Information regarding defined workgroup methods and procedures is communicated and made available.

> Examples of mechanisms for communicating defined workgroup methods and procedures and making them available include the following:
>
> - Intranet or other electronic means
> - Manuals
> - Workgroup facilitators

3. Defined workgroup methods and procedures are periodically reviewed and revised to ensure the best workgroup practices continue to be propagated throughout the organization.

Practice 5   **The competencies required to perform a workgroup's business activities are identified.**

1. Before a workgroup is formed, the workforce competencies needed to perform the workgroup's business activities are identified.

2. The workforce competencies required to perform the workgroup's business activities are documented and made available for use in staffing, performance management, training, and other workforce activities related to the workgroup.

3. The workforce competencies included in a workgroup are reevaluated whenever the processes, technologies, products, or services associated with a workgroup are significantly redefined.

Practice 6   **Staffing processes are performed to ensure that workgroups are staffed with individuals whose competencies match those needed to perform the workgroup's business activities.**

1. Individuals to whom workgroups report incorporate workforce competency information into workgroup staffing processes.

   > Examples of workforce competency-related information to be incorporated into a workgroup's position descriptions, selection processes, and criteria for evaluating candidates include the following:
   >
   > - Workforce competencies related to the business activities assigned to the workgroup
   > - Ability to work in a group environment
   > - Ability to coordinate with individuals possessing other workforce competencies
   > - Ability to fulfill a specific role responsibility in the workgroup, such as team leader or intergroup liaison
   > - Ability to acquire additional competency related to the workgroup's business activities
   > - Contribution to the individual's competency development and career objectives

2. When appropriate, workgroup members are involved in recruiting candidates with appropriate workforce competencies for open positions.

   > Typically, workgroup members are involved in staffing processes and decisions. Examples of occasions when workgroup members may not be involved in staffing processes and decisions include the following:
   >
   > - When management is initially assigning a set of individuals to form a workgroup
   > - When an individual is being assigned to perform a temporary role in the workgroup
   > - When an individual with a unique competency is being assigned by another group to fill a specific competency-based role in the workgroup, such as finance or quality assurance

3. When appropriate, workgroup members are involved in executing a selection process for evaluating the competencies and other qualifications of candidates for open positions in the workgroup.

> Examples of non-competency-related information that may be incorporated into workgroup selection processes and decisions include the following:
>
> - Existing work load and time available to fulfill workgroup responsibilities
> - Anticipated fit with other members of the workgroup
> - Other organizational staffing goals

4. When appropriate, workgroup members are involved in selection decisions.

5. The workgroup is involved in orienting new members to the workgroup's processes, commitments, and other members.

Practice 7 **Workgroups tailor competency-based processes for performing their business activities.**

> In order to improve coordination within a workgroup beyond what can be achieved solely through good interpersonal skills, a workgroup must define a set of operating processes for coordinating their work. Frequently, workgroups are composed of members from a single workforce competency (e.g., a software development team, a sales team, or a financial audit team), and individual members fill roles typically structured by the process abilities defined within their competency.
>
> At the Defined Level, workgroup processes typically revolve around the process abilities within workforce competencies, and occasionally require coordinated interfaces between processes performed by individuals from different competencies.

However, individuals from a different competency are occasionally assigned to fill a role in a workgroup. In such cases, members from a different competency often fulfill 'staff' functions affiliated with the workgroup rather than functioning as integral members. For instance, a finance specialist managing the budget for a product development project plays a role primarily defined by their competency in finance. How they perform most of their processes within the workgroup is defined by the process abilities of their competency in finance. In performing their role, they coordinate their financial activities with the rest of the workgroup based on dependencies in the product development process for financial information or actions.

1. Workgroup members sharing a common workforce competency jointly:

   ❏ analyze the workgroup's assigned responsibilities to determine activities and results for which they will most likely be accountable,

   ❏ compare competency-based processes from their workforce competency to the activities and results for which they will most likely be accountable,

   ❏ select among the alternatives and tailor competency-based processes to best support the workgroup's performance,

   ❏ document the competency-based processes to be used in supporting the workgroup's performance and any tailoring required to make the processes more fit for use, and

   ❏ periodically review the tailored competency-based processes to ensure they continue to support workgroup performance and take corrective action where concerns are detected.

When workgroup members are from different workforce competencies, individuals from each competency select and tailor processes from their workforce competency for use in guiding their contributions to the workgroup. Thus, the different members of a workgroup may be following different competency-based processes in performing their work. Each member follows the competency-based processes associated with their workforce competency.

2. When a workgroup is composed of members from different workforce competencies, they should:

    ❏ review and agree on the competency-based processes being employed by members from each competency, and

    ❏ mutually define interfaces between their competency-based processes for coordinating work dependencies.

3. The workgroup documents its operating processes which include:

> A *workgroup's operating processes* at the Defined Level are composed from the collection of tailored competency-based processes and common workgroup methods and procedures selected for use within the workgroup. A workgroup's operating processes are used for:
>
> • Guiding the activities of workgroup members
>
> • Orienting new workgroup members
>
> • Understanding and evaluating the process performance of the workgroup

    ❏ the competency-based processes tailored by members of the workgroup from their workforce competencies,

    ❏ mutually defined interfaces between competency-based processes, and

    ❏ choices among common workgroup methods and procedures defined by the organization for performing common workgroup functions.

Practice 8 **Roles for performing the workgroup's operating processes are defined and allocated to individuals.**

> When a workgroup method, procedure, or a competency-based process is too large to be performed by a single individual, it must be divided into work packages called roles. A *role* is a defined set of work tasks, dependencies, and responsibilities that can be assigned to an individual as a work package. A role describes a collection of tasks that constitute one component of a procedure or process, whereas an assignment consists of one or more roles whose performance constitutes an individual's committed work. A role is distinguished from an individual's assignment within the workgroup, which consists of performing one or more roles.

1. The roles necessary to perform the tailored competency-based processes or common workgroup methods and procedures required to accomplish a workgroup's business activities are defined.

> Descriptions of pre-defined roles are often incorporated into definitions of competency-based or common workgroup methods and procedures. For competency-based processes, process elements are gathered into clusters of related tasks that can be assigned as a role to one or more individuals possessing the competency. Roles defined in common workgroup methods and procedures can be assigned to any member of the workgroup trained to perform the tasks composing the role. Individuals may perform more than one role as part of their contribution to the workgroup.
>
> If roles are not defined within competency-based or common workgroup methods and procedures, then the elements of these processes must be organized into defined roles. Roles may be specific to competency-based processes or to common workgroup methods and procedures, or may be a combination of both. As the organization learns more about how these roles evolve in workgroups, it may incorporate them into the definitions of competency-based or common workgroup methods and procedures. Well-defined roles can be reused by other workgroups when performing similar processes.
>
> When some tasks required to accomplish the workgroup's committed objectives are not defined in competency-based or common workgroup methods and procedures, then they must be organized and allocated among workgroup members as individual roles.

2. Defined roles are tailored for use within the context of the workgroup's business activities.

> Examples of activities through which role descriptions are tailored and elaborated for use include the following:
>
> - Tailoring competency-based processes
> - Tailoring common workgroup methods and procedures
> - Workgroup planning
> - Defining workgroup or individual performance objectives
> - Reviewing individual or workgroup performance
> - Performing process analyses
> - Coordinating activities among workgroup members

3. A responsible individual(s) allocates roles among members of the workgroup.

> The individual to whom a workgroup reports is responsible for ensuring that its roles are defined and assigned appropriately. However, responsible managers can delegate this responsibility to another individual, such as a team leader or workgroup facilitator, or to the workgroup itself. Individuals should only be allocated roles they can be expected to accomplish within the limits of their competency and available effort. Examples of reasons behind role assignments to individuals may include the following:
>
> - Competency or experience in the tasks assigned to the role
> - Balancing of work across individuals
> - Cross-training in the workgroup's business activities
> - Competency or career development

4. Each workgroup member's assignment is documented as the combination of roles allocated to them.

> Example forms in which assignments may be documented include the following:
>
> - Position descriptions
> - Workgroup planning documents
> - Agreements for coordinating work dependencies
> - Performance objectives for committed work

5. A responsible individual(s) periodically analyze the performance of workgroups to ensure that no individual is overloaded with roles.

6. A responsible individual(s) periodically analyze the performance of workgroups to ensure defined roles are not overloaded with tasks.

Practice 9 **Workgroup activities and commitments are planned.**

1. Workgroups plan how they will accomplish the business activities assigned to them.

Workgroup planning typically addresses:

❏ performance commitments,

❏ competency-based processes and common workgroup methods and procedures tailored for use by the workgroup,

❏ roles to be performed,

❏ work dependencies within the workgroup, or with other workgroups or organizational entities,

❏ descriptions of work products or services,

❏ schedules and budgets,

❏ resources required,

❏ how risks will be identified and handled,

❏ measures of process performance, and

❏ necessary management and support activities.

> Examples of information from which a workgroup's plans can be developed include the following:
>
> • Assigned responsibilities
>
> • Descriptions of products or services
>
> • Descriptions of competency-based processes or common workgroup methods and procedures
>
> • Work breakdown structures
>
> • Previously constructed plans by workgroups assigned similar responsibilities
>
> • Historical data on workgroup and task performance

2. Members of the workgroup agree to:

❏ their individual commitments to the workgroup, and

❏ the workgroup's commitments to other workgroups, its own unit, or other entities in the organization, and

> When members of a workgroup individually or collectively do not believe they can accomplish the business activities assigned to them within the parameters (e.g., time, budget, quality, etc) specified, they must negotiate work responsibilities until they arrive at commitments they believe they can meet.

❏ changes to individual or workgroup commitments.

> These commitments serve as the basis for establishing measurable performance objectives for the workgroup. Refer to Practice 13 for information regarding establishing the workgroup's performance objectives and tracking and managing workgroup performance against these objectives.

3. A workgroup's plan is reviewed to ensure:

   ❏ it satisfies the responsibilities assigned to the workgroup,

   ❏ the commitments are achievable,

   ❏ the workgroup's dependencies with other entities in the organization are coordinated,

   ❏ workloads are balanced across the workgroup, and

   ❏ no individual's performance commitments to the workgroup are in jeopardy because of work commitments to other workgroups or organizational entities.

4. Workgroup plans are documented.

> Examples of how a workgroup's plan can be documented include the following:
>
> - As a separate workgroup plan
> - As a component of a project or unit plan
> - As performance objectives at the individual, workgroup, or unit levels
> - As a component of a documented workflow
> - As a contribution to the work of a unit or higher organizational entity

Practice 10   **Workgroup members establish mechanisms for communicating information and coordinating dependencies among roles.**

1. Workgroup members identify the dependencies among their role responsibilities.

2. Workgroup members agree on how they will coordinate work processes and products to satisfy their dependencies, and these agreements are documented during such activities as:

   ❏ the tailoring of competency-based or common workgroup methods and procedures to create the workgroup's operating processes,

   ❏ workgroup planning, or

   ❏ the definition and allocation of roles.

3. When subsets of workgroup members are using different competency-based processes, they define interfaces between roles in different competencies to ensure the coordination necessary for meeting the workgroup's performance objectives.

4. Workgroups define methods for coordinating the flow of information required by the workgroup's operating processes and role responsibilities.

5. Workgroups determine the frequency with which meetings are needed to share information, maintain coordination, and track status.

6. Workgroup members ensure they have a common understanding of the terms and representations they use in communicating.

7. Workgroup members coordinate with each other to ensure that gaps or other problems in their workgroup's operating processes are handled.

8. Workgroups periodically review performance to identify and correct problems such as:

   ❏ breakdowns in communication and coordination of dependencies,

   ❏ breakdowns, gaps, or inefficiencies in defined processes,

   ❏ overloaded role responsibilities, or

   ❏ workload imbalances across individuals.

Practice 11   **Skills needed to perform jointly as a workgroup using the workgroup's operating processes are developed.**

> This practice focuses on development needs specific to the workgroup in such areas as the workgroup's operating processes, the organization's common workgroup methods and procedures, workgroup dynamics, workflow, coordination, and competency-based processes defined or tailored at the workgroup level.
>
> Refer to the Competency Development process area for information focused on individual development in the organization's workforce competencies and to Practice 7 of the Communication and Coordination process area for information regarding individuals' development of interpersonal communication skills.

> Examples of the responsible individual(s) who interacts with the workgroup to manage the workgroup's development needs include the following:
>
> - The individual to whom the workgroup reports
> - An individual from the training function
> - An expert in workgroup or team development
> - An individual from the human resources function or other appropriate professionals

1. As the workgroup is initiated, a responsible individual identifies any needs for training and development, based on:

    ❏ individual workgroup members' capability to perform the workgroup's operating processes, or

    ❏ the specific tailoring of competency-based or common workgroup methods and procedures for use within the workgroup as the workgroup's operating processes, and

    ❏ the roles that individuals have been assigned to fulfill.

2. A responsible individual analyzes the workgroup's performance to determine its development needs.

> Factors to evaluate in analyzing workgroup performance may include the following:
>
> - Workgroup performance against objective performance criteria
> - How the work is organized and carried out by the workgroup
> - Peer reviews by people external to the workgroup
> - Workgroup self-evaluation
> - Appropriate quality and productivity metrics
> - Skill development needs for existing workgroup members (both individual competency development needs and needs for development of workgroup knowledge, skills, and process abilities)
> - Performance improvement against baselines
> - The contribution of the workgroup to the performance of the unit and the organization

3. Working with a responsible individual, the workgroup documents a plan for its development activities that includes:

   ❏ development objectives for the workgroup,

   ❏ specific development actions to achieve these objectives,

   ❏ the schedule for performing the unit's Workgroup Development activities, and

   ❏ development activities that support the organization's strategic workforce plan.

4. The workgroup performs its development activities.

5. A responsible individual(s):

   ❏ reviews the accomplishment of the workgroup's development activities and the impact of these development activities on workgroup behavior and performance,

   ❏ documents completed development activities, and

   ❏ recommends corrective action when development activities do not achieve their intended objectives.

Practice 12   **Workgroups that share dependencies define interfaces through which their activities and commitments are coordinated.**

1. Workgroups identify the dependencies they share with other workgroups or organizational entities.

2. Dependent workgroups or their representatives interact to:

   ❏ plan activities that satisfy their dependencies,

   ❏ review and agree to their mutual commitments,

   ❏ raise and resolve issues in their work,

   ❏ coordinate their activities as necessary,

   ❏ jointly monitor progress toward satisfying dependencies,

   ❏ take corrective action as necessary when dependencies are in jeopardy, and

   ❏ improve conditions and processes that affect their mutual work.

3. Problems or issues that cannot be resolved among dependent workgroups are handled according to a documented procedure.

   > Unresolved issues can be raised to management, submitted to an arbitration group, or addressed by a documented method that is appropriate to the type of issue and is approved by management.
   >
   > Examples of intergroup issues include the following:
   >
   > - Incompatible schedules
   > - Poorly synchronized processes
   > - Different rates of progress
   > - Technical issues
   > - Risks
   > - Quality problems
   > - Unplanned dependencies

Practice 13   **A responsible individual(s) tracks and manages workgroup performance.**

> Managing workgroup performance is separate from managing the performance of individual workgroup members. In practice, many of the activities for managing the performance of individuals and of workgroups may occur in close temporal proximity and may be performed by the same individual. However, workgroups need performance feedback on their performance as workgroups, on their coordination, and on their collective actions; rather than on their individual performance. This practice supplements, but does not replace, the Performance Management practices and Competency-Based Practices performed for individuals.

1.   The workgroup establishes performance objectives with the manager or supervisor to whom it reports.

> Refer to Practice 9 for information regarding how these workgroup performance objectives may be established and documented through the workgroup planning process.

2.   Responsible individuals ensure that:
   ❏ each individual's performance objectives are aligned with the performance objectives of the workgroup,

   ❏ personal development plans do not conflict with the performance objectives of the workgroup, and

   ❏ the workgroup's performance objectives are aligned with those of other workgroups or organizational entities with which it shares dependencies.

3.   The individual to whom the workgroup reports maintains an awareness of its performance.

> Examples of means to maintain awareness of workgroup performance may include the following:
>
> - Tracking performance against plan
> - Reviewing performance data
> - Reviewing measures of process performance
> - Maintaining awareness of technical issues and decisions
> - Reviewing risks to performance
> - Attending status review meetings
> - Reviewing individual or workgroup progress reports
> - Contacting customers of the workgroup's products or services
> - Contacting other workgroups with which it shares dependencies

4.   The individual to whom the workgroup reports maintains ongoing communication with the workgroup about its performance.

> Ongoing communication about workgroup performance involves more than just formal progress review meetings, but should also consist of informal discussions of workgroup performance with some or all members. When conducted with individual members of the workgroup, a mix of individual and workgroup performance can be discussed. Other examples of mechanisms for maintaining ongoing communication with individuals within the workgroup and with the workgroup include the following:
>
> - Management by walking around (MBWA)
> - Workgroup staff meetings
> - Frequent informal meetings
> - Ongoing interactions with individuals and groups

5.   A responsible individual(s) facilitates the workgroup in evaluating the individual and collective performance of its members.

> This responsible individual may be the individual to whom the workgroup reports or may be someone outside the group with expertise in workgroup development.

6.   When workgroups share work dependencies, their mutual performance is tracked and managed by an individual(s) with responsibility for their collective performance.

> An example of a mechanism to track performance when workgroups share work dependencies is to hold status reviews of coordinated intergroup performance. When held, these status reviews of coordinated intergroup performance typically:
>
> - Involve all affected groups or stakeholders
> - Review technical, cost, staffing, and schedule performance against workgroup plans
> - Identify corrective actions, if necessary
> - Review coordination of dependencies between groups
> - Address conflicts and issues not resolvable at lower levels
> - Review and manage risks
> - Ensure that action items are assigned, reviewed, and tracked to closure
> - Are terminated by a summary report from each meeting which is prepared and distributed to all affected groups

7.   Responsible individuals ensure that workgroups have the information they need to perform their committed work.

8.   The individual to whom the workgroup reports periodically provides formal feedback to the workgroup about its performance according to a documented procedure.

> The workgroup and the individual to whom they report develop an agreement as to the method and schedule by which formal feedback is provided. Examples of vehicles through which formal feedback can be provided to workgroups include the following:
>
> - Formal progress reviews
> - 360^0 review by stakeholders in the workgroup performance
> - Workgroup performance reviews scheduled separately from progress reviews

9. The individual to whom the workgroup reports works with the workgroup to discuss and resolve problems.

> Examples of problems to be resolved include the following:
>
> - Resource allocation issues
> - Internal workgroup conflicts
> - Breakdowns in coordination with other workgroups or units
> - Overloaded assignments
> - Conflicting priorities

10. When problems occur in workgroup performance, a responsible individual works with the workgroup to:

- ❏ accurately describe the performance problem,
- ❏ identify the causes of the performance problem,
- ❏ decide on corrective action,
- ❏ manage individual performance problems that contribute to problems in workgroup performance,
- ❏ track the workgroup's implementation of corrective action,
- ❏ provide continuing feedback on progress in correcting the performance problem, and
- ❏ take further actions if workgroup performance does not improve.

11. Outstanding workgroup performance is recognized or rewarded.

12. Adjustments to each individual's compensation are based, in part, on their contribution to workgroup performance.

Practice 14 **Workgroups are disbanded through an orderly performance of workforce activities.**

1. Workgroups are made aware of the conditions under which their business activities are deemed to be complete.

2. A responsible individual discusses future assignments with each member of a disbanding workgroup.

3. When possible, future assignments are determined before a workgroup is disbanded.

4. Decisions about future assignments incorporate inputs concerning:

    ❏ personal development plans,

    ❏ competency development needs and activities,

    ❏ career development issues,

    ❏ competency needs of other workgroups or organizational entities,

    ❏ transfer of knowledge, skills, or process abilities to other individuals or workgroups in the organization, and

    ❏ the strategic workforce plan.

5. Transition among assignments is planned to minimize disruption to individual's competency and career development activities.

    > Refer to Practice 14 of the Staffing process area for information regarding transitioning between positions.

6. A responsible individual reviews workgroup performance with the members of the workgroup.

7. Performance management activities are completed before members separate from a disbanding workgroup.

    > The disbanding of a workgroup may not correspond with scheduled formal performance management activities. To ensure that contemporaneous information about each individual's performance is retained, examples of individual performance management activities to be completed before the workgroup disbands include the following:
    >
    > • Recording the results of individual performance against objectives
    >
    > • Evaluating individual contribution to workgroup performance
    >
    > • Documenting accomplishments in personal development plans
    >
    > • Assessing performance against an individual's improvement plan
    >
    > • Providing rewards or recognition for outstanding performance

8. Orientation activities are planned and conducted to prepare members of disbanding workgroups for their new assignments.

Practice 15   **When workgroups disband, their assets are captured for redeployment.**

1. Prior to the completion of the workgroup's business activities, a responsible individual(s) works with the workgroup to:

   ❏ plan the process for disbanding the workgroup,

   ❏ capture and archive lessons learned about products, processes, or workforce practices,

   ❏ prepare and archive appropriate work products.

2. The residual assets of the workgroup's activities are disposed of appropriately through such means as being:

   ❏ delivered to internal or external customers,

   ❏ deployed to other workgroups,

   ❏ returned to original owners,

   ❏ archived for future use or reference, or

   ❏ securely destroyed.

Measurement and Analysis

Measurement 1   **Measurements are made and used to determine the status and performance of Workgroup Development activities across the organization.**

Examples of measurements include the following:

- Number of workgroups and people involved in workgroups
- Average number of workgroups that individuals contribute to
- Profiles of competency mixtures across workgroups
- Time spent in training for workgroup-related skills
- Time spent developing workgroup plans and tailored processes
- Timeliness of performing workforce activities in workgroups
- Effectiveness of workgroups in meeting their milestones and other performance objectives
- Effectiveness with which dependent workgroups satisfy their dependencies
- Effectiveness in achieving the objectives of the strategic workforce plan
- Common issues and trends determined by analyzing lessons learned from disbanding workgroups

Measurement 2   **Measures of workgroup development are collected and aggregated at the organizational level.**

1. A historical database of workgroup development and performance data is maintained.

2. Workgroup development data are periodically analyzed to determine trends.

Measurement 3   **Measurements are made and used to determine the effectiveness of Workgroup Development activities.**

Verifying Implementation

Verification 1   **A responsible individual(s) verifies that Workgroup Development activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. Workgroup development activities comply with the organization's policies and stated values.

2. Workgroup development activities comply with relevant laws and regulations.

3. Workgroup development activities are performed according to the organization's documented practices and procedures.

4. Noncompliance issues are handled appropriately.

5. Workgroup development activities are kept current and reflect existing and anticipated organizational conditions and needs.

Verification 2   **Executive management periodically reviews the Workgroup Development activities, status, and results; and resolves issues.**

These reviews verify:

1. The appropriateness of Workgroup Development activities.

2. Progress in performing Workgroup Development activities.

3. Results from reviews of Workgroup Development practices and activities.

> Refer to Verification 1 for practices regarding reviews of Workgroup Development activities to ensure adherence to the following:
>
> - Relevant laws and regulations
> - Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.

5. Trends in workgroup development compared to objectives in the strategic workforce plan.

6. Effectiveness of Workgroup Development activities in achieving the objectives in the strategic workforce plan.