

Contents

Acknowledgments	xix
Chapter 1 Introduction—Why This Book?	1
1.1 Background	1
1.2 Factors Common to Good Projects	4
1.3 Roads to Promotion	4
1.4 The Scenarios in the Book	6
1.4.1 The Earth Monitoring and Data Archiving System (EMDAS) Project	6
1.4.2 The Data Archive and Distribution System (DADS) Project	7
1.4.3 The Telemetry, Tracking, and Control (TTC) Facility Upgrade Project	7
1.5 The Contents of This Book	8
Chapter 2 Motivating Concepts	12
2.1 What's In It For Me?	12
2.2 The Nature of Man	12
2.3 Goal-Directed Behavior	13
2.4 Some Theories of Motivation	13
2.4.1 Murray's Lists of Needs	14
2.4.2 Maslow's Hierarchical Theory	14
2.4.3 Alderfer's Theory	15
2.4.4 The Herzberg Motivation-Hygiene Theory	16
2.4.5 Morris Massey's Theory	16
2.5 Recognition and Rewards	18
2.6 Expectations and Performance	19

2.7	A Slice of the Pie	19
2.8	Summary	21
Chapter 3	An Overview of Systems Engineering	23
3.1	Systems Engineering	23
3.2	The Systems Development Life Cycle (SDLC)	23
3.2.1	The Preliminary Planning Phase	24
3.2.2	The Requirements Analysis Phase	25
3.2.3	The Preliminary Design Phase	26
3.2.4	The Design Phase	27
3.2.5	The Build, Integrate, and Test Phases	28
3.2.6	The Operations and Maintenance Phases	28
3.3	The Role of the Systems Engineer	28
3.3.1	Effective Systems Engineers	32
3.3.2	The Ideal Systems Engineer	34
3.4	Interdependency	34
3.5	The Systems Engineering Team	35
3.5.1	Adaptive and Innovative Characteristics for Process Improvers	37
3.5.2	Assembling Teams	37
3.5.3	Characteristics of Effective Teams	37
3.5.4	Metrics for People	38
3.6	Summary	39
Chapter 4	Methodologies and Models in Systems Engineering	41
4.1	Methodology Maturity Measurements	41
4.2	MIL-STD-499A Systems Engineering	42
4.2.1	Introduction	42
4.2.2	Referenced Documents	43
4.2.3	Definitions	43
4.2.4	General Criteria	44
4.2.5	Detailed Requirements	45
4.2.6	Contractual Provisions	45
4.2.7	Noncontractual Provisions	46
4.2.8	Review of Contractor's Engineering Management	46
4.2.9	Notes to MIL-STD-499A	46
4.3	The Draft MIL-STD-499B and the Electronics Industries Association Interim Standard (EIA IS) 632	48
4.4	Adapting MIL-STD-2167A (Software Engineering) to Systems Engineering	50
4.4.1	Introduction	51
4.4.2	Referenced Documents	51

4.4.3	Definitions	51
4.4.4	General Requirements	52
4.4.5	Detailed Requirements	54
4.4.6	Notes to MIL-STD-2167A	55
4.4.7	Appendices	55
4.4.8	Summary	55
4.5	Using Models in Systems Engineering	56
4.6	Adapting the Ward & Mellor Methodology to Systems Engineering	56
4.6.1	The Five Phases	57
4.6.2	The Structured and Object-Oriented Analysis Choice	58
4.6.3	Problem State Language	58
4.6.4	Formal and Informal Reviews	58
4.6.5	Real-Time Extensions	59
4.6.6	The Relationship of the Ward and Mellor Models to the SDLC	59
4.7	The Hatley & Pirbhai Methodology	61
4.7.1	The Models	61
4.7.2	The Methodology	62
4.8	Object-Oriented Methodologies	62
4.9	Summary	63
Chapter 5	Optimizing the Systems Engineering Process	65
5.1	Understanding the Customer's Real Requirements	65
5.2	Performing Systems Engineering with Skilled Systems Engineers	66
5.2.1	The Tendency to Reinvent the Wheel on Each Project	66
5.2.2	The Tendency to Reuse Existing Hardware and Software	66
5.3	Communicating and Maintaining the Vision	67
5.4	Performing Adequate Specialty Engineering	68
5.5	Applying Lessons Learned from Previous Projects	69
5.6	Planning Ahead to Ensure Resources Are Available When Needed	70
5.7	Documenting the Reasons for Decisions	70
5.8	Controlling Changes	70
5.9	Using Personal Computers and Computer Enhanced Systems Engineering (CESE) Tools	72
5.9.1	CORE	73
5.9.2	DOORS	74
5.9.3	FORESIGHT	74
5.9.4	RDD-100	74

5.9.5	RTM	75
5.9.6	SES/objectbench	75
5.9.7	SIR/REX	75
5.9.8	SLATE	76
5.9.9	Statemate	76
5.10	Employing a Tested Methodology	77
5.11	Using a Systems Engineering Methodology That Seamlessly Interfaces to the Software Development Methodology	77
5.12	Summary	77
Chapter 6	Mitigating Project Development Risks	79
6.1	The EMDAS Project	79
6.2	The Size of the Project	80
6.3	The Number of Organizations and Companies Involved	82
6.4	The Geographical Separation of the Installations	83
6.5	The Planned Evolutionary Changes	83
6.6	The Overseas Interfaces	84
6.7	Incomplete Requirements	85
6.8	Failure to Control Changes	85
6.9	Team Problems	87
6.10	Summary	87
Chapter 7	The Contractual Background to Systems Engineering	89
7.1	Contracts	89
7.2	Firm Fixed Price (FFP) Contracts	90
7.3	Cost Plus Contracts	91
7.4	Cost Plus Fixed Fee (CPFF) Contracts	92
7.5	Cost Plus Incentive Fee (CPIF) Contracts	92
7.6	Cost Plus Award Fee (CPAF) Contracts	94
7.7	The Elements of the CPAF	94
7.7.1	The Statement of Work (SOW)	95
7.7.2	The Target Cost	95
7.7.3	The Minimum Fee	95
7.7.4	The Award Fee	95
7.7.5	The Award Fee Evaluation Criteria	95
7.8	Optimizing CPAF Performance	96
7.9	Advantages and Disadvantages of the CPAF	97
7.10	Summary	98
Chapter 8	Costs and Their Relation to Quality	101
8.1	The Three Dimensions of Cost-Effective Engineering	101
8.2	Measuring Project Progress	102
8.3	The Generic Process	103

11.3	Metrics for Systems Engineering Products	151
11.3.1	Metrics for Documents	151
11.3.2	Metrics for Reviews	152
11.4	Metrics for Systems Engineers	152
11.5	Summary	152
Chapter 12	Systems Engineering Documentation	155
12.1	Improving Engineering Documentation	155
12.1.1	The Purpose of a Document	156
12.1.2	The Current Document Preparation Process	156
12.1.3	Characteristics of Effective Engineering Documents	156
12.1.4	The Effective Document Preparation Process	157
12.1.5	Locate and Evaluate a Similar Document	157
12.1.6	Prepare an Annotated Outline	157
12.1.7	Iterative Part	158
12.1.8	Produce Peer Review Copy of Document	159
12.1.9	Circulate Document for Comment	159
12.1.10	Receive Comments	160
12.1.11	Evaluate and Incorporate Comments	160
12.1.12	Hold Informal Document Review/Walkthrough	160
12.1.13	Publish Formal Draft Copy of Document	160
12.1.14	Update Document Based on Customer's Comments	161
12.1.15	Publish Document	161
12.2	The Systems and Operations Concept Document	162
12.3	The Systems Engineering Management Plan	162
12.4	Requirements Documents	163
12.4.1	Requirements for Writing Requirements	166
12.5	Interface Control Documents (ICD)	168
12.6	Test Plans	170
12.6.1	Sample Annotated Outline of a Test Plan	170
12.7	Summary	174
Chapter 13	The Procurement	177
13.1	Government Contracts	177
13.1.1	The Federal Acquisition Regulations (FAR)	177
13.1.2	Office of Management and Budget (OMB) Circulars	178
13.1.3	The Competition in Contracting Act (CICA)	178
13.2	The Acquisition Process	179
13.2.1	Develop the Acquisition Plan	179
13.2.2	Develop the Statement of Work (SOW)	180
13.2.3	The Purchase Request	181

13.2.4	The Commerce Business Daily Synopsis	181
13.2.5	Develop the Solicitation	181
13.2.6	Proposal Technical Evaluation	181
13.2.7	Price/Cost Analysis	182
13.2.8	Negotiations	182
13.2.9	The Award	182
13.2.10	Contract Administration	182
13.2.11	Contract Modifications	183
13.2.12	Completion or Termination	183
13.3	The Effect of a Protest	184
13.4	Improving the Acquisition Process	184
13.5	Summary	185
Chapter 14	Proposals	187
14.1	The Purpose of the Proposal	188
14.2	The Importance of a Winning Proposal	188
14.3	Improving the Proposal Process	188
14.4	Definition of the Process	189
14.4.1	The Initial Intent-to-Try Decision	190
14.4.2	Preliminary Design	190
14.4.3	Request for Proposal Release	191
14.4.4	Design Check	191
14.4.5	Basic Bid/No Bid Decision	191
14.4.6	The First Draft	191
14.4.7	Preliminary Document Review (PDR)	192
14.4.8	Second Draft	192
14.4.9	Intermediate Document Review (IDR)	192
14.4.10	Final Polish	192
14.4.11	Corporate Document Review (CDR)	193
14.4.12	Publish	193
14.4.13	Deliver	193
14.4.14	Party and Internal Debriefing	193
14.4.15	Follow-Up With Customer	193
14.5	Understanding the Process	193
14.6	Definition of Improvements	194
14.7	Gather Data about the Process	194
14.8	Analyze the Data	195
14.9	Identification of Quantifiable Metrics	196
14.9.1	Red Team Evaluation Reports	196
14.9.2	Cost per Page	198
14.9.3	Ratio of Costs Incurred Before Red Team Review to Costs After Red Team Review	198
14.9.4	Finding Other Metrics	198

8.4	The Typical Process with Defects	104
8.5	Lowering the Costs	106
8.6	The Cost of Quality	106
8.7	Summary	108
Chapter 9	Process Improvement	111
9.1	Adaptive and Innovative Process Improvements	111
9.2	The Process Improvement Spiral	112
9.3	Tools for Process Improvement	114
9.4	Charts	114
9.4.1	The Table	114
9.4.2	The Bar Chart	114
9.4.3	The Pie Chart	115
9.4.4	The Flow Chart	116
9.4.5	The Cause and Effect Chart	117
9.4.6	The Trend Chart	117
9.4.7	The Control Chart	118
9.4.8	The XY Chart	119
9.4.9	The Product-Activity-Milestone (PAM) Chart	119
9.4.10	The Work Breakdown Structure (WBS)	121
9.4.11	The PERT Chart	124
9.4.12	Quality Function Deployment (QFD)	125
9.5	The Personal Computer	127
9.6	Documents	128
9.7	Presentations	128
9.8	Presentation Handouts	130
9.9	Certificates of Appreciation	130
9.10	Meetings	131
9.11	Summary	133
Chapter 10	Anticipatory Testing	135
10.1	The Calamity Jane/John Wayne Paradigm	137
10.2	The Anticipatory Testing Paradigm	139
10.3	The Anticipatory Testing Approach to Systems Engineering	139
10.4	Organizing for Anticipatory Testing	142
10.4.1	The Project Organization	142
10.4.2	The Anticipatory Testing Department	144
10.5	Lowering the Baseline Costs of Government Contracts	145
10.6	The Advantages of Anticipatory Testing	146
10.7	Summary	147
Chapter 11	Metrics for System Engineering	149
11.1	Basic Metrics	149
11.2	Quantitative Metrics	150

14.10	Lessons Learned	198
14.10.1	Lack of Resources	198
14.10.2	Things We Had, but Didn't Follow through On	199
14.10.3	Things We Did Not Do	199
14.10.4	Things We Needed	199
14.10.5	Things We Did Right	200
14.11	Establish a Baseline	200
14.12	Modify, Measure, and Continuously Improve the Process	201
14.12.1	Change the Organizational Structure	201
14.12.2	Modify the Proposal Production Process	203
14.13	Summary	207

Chapter 15	Requirements Definition Phase	209
15.1	Types of Requirements	209
15.2	How to Collect Requirements	210
15.3	Metrics for Requirements	210
15.4	Where to Store Requirements	212
15.5	Summary	213

Chapter 16	The Preliminary Design Phase	215
16.1	Facilitate Communications	217
16.2	Tailor Methodologies	217
16.3	Perform Tradeoffs	217
16.4	Coordinate Peer Reviews	217
16.5	Apply Lessons Learned from Previous Projects	218
16.6	Determine Suitability of COTS Products	218
16.7	Make Dumb Comments	218
16.8	Develop Transition Plans	219
16.9	Make Sure Action Items are Completed in a Timely Manner	220
16.10	Summary	220

Chapter 17	The Design, Build, Integrate, and Test Phases	221
17.1	The Role of the Anticipatory Testing Department	221
17.2	Acting as Communicators to Locate and Resolve Problems Across Interfaces	222
17.3	Facilitating Communications Between the Different Specialized Departments	222
17.4	The Cataract Approach to Build Planning	223
17.5	Assessing the Impact of Changes	225
17.6	Performing Hardware-Software Tradeoffs	226
17.7	Test Planning	226

17.8	Planning the Transition to the Operations and Maintenance Phase	227
17.9	Summary	227
Chapter 18	The Operations and Maintenance Phase	229
18.1	System Upgrades	230
18.2	The TTC Upgrade Rehosting Case	230
18.3	Available Alternatives	232
18.3.1	Use Existing Equipment	232
18.3.2	Replace the Entire System	232
18.3.3	Upgrade Existing System	233
18.3.4	Upgrade Existing System, Then Replace It	235
18.4	Evaluation and Decision	235
18.5	Summary	236
Chapter 19	Ethics in Systems Engineering	237
19.1	Personal Ethics	237
19.2	Corporate Ethics	238
19.3	Professional Ethics	238
19.3.1	The TTC Facility Upgrade Fiber Distributed Data Interface (FDDI) Design	238
19.3.2	Ineffective Systems Engineering May Break the Law	240
19.4	Personal Integrity	241
19.5	The Ethical Dilemma	242
19.5.1	The Law	243
19.5.2	Your Motives	244
19.5.3	The Company's Ethics Policy	244
19.5.4	The Consequences of Your Action	245
19.6	The Approach to Solving the Ethical Problem	245
19.6.1	Analyze the Situation	245
19.6.2	Identify Appropriate Lessons Learned	246
19.6.3	Develop Alternatives	247
19.6.4	Determine the Probable Outcome of Each Alternative Decision	247
19.6.5	Evaluate the Alternatives	248
19.6.6	Decide What to Do and How to Go about It	248
19.7	Blowing the Whistle	248
19.7.1	Consult with a Specialist	248
19.7.2	Open a Diary	249
19.7.3	Gather the Evidence	249
19.7.4	Follow Procedure	250
19.7.5	External Options	250
19.8	Summary	251

Chapter 20	Applying TQM to Systems Engineering	253
20.1	Lessons Learned—Some Reasons Why Attempts at Implementing TQM Fail	253
20.1.1	It's a New Paradigm	254
20.1.2	Resistance to Change	254
20.1.3	Perceived Lack of Management Support	254
20.1.4	It Takes Time Away from Doing It Wrong	256
20.1.5	The Tools Are Developed but Are Not Applied in a Cost-Effective Manner	256
20.2	The Critical Elements of Systems Engineering	257
20.3	Roadmap for Improvement	257
20.4	Training Courses	258
20.5	Applying TQM to the Documentation Process	259
20.6	Course Preparation	260
20.7	Course Presentation	260
	20.7.1 Day 1: Theory (More or Less)	260
	20.7.2 Day 2: Practice	261
20.8	The Wrap-Up Phase	262
20.9	The Course Development Schedule	262
20.10	Summary	263
Chapter 21	ISO 9000 in Systems Engineering	265
21.1	The ISO 9000 Series of Standards	265
21.2	Meeting the Elements of the ISO 9001 Standard	267
21.2.1	Management Responsibility	267
21.2.2	Quality System	268
21.2.3	Contract Review	268
21.2.4	Design Control	269
21.2.5	Document and Data Control	269
21.2.6	Purchasing	269
21.2.7	Control of Customer-Supplied Product	270
21.2.8	Product Identification and Traceability	270
21.2.9	Process Control	270
21.2.10	Inspection and Testing	271
21.2.11	Inspection, Measuring, and Test Equipment	271
21.2.12	Inspection and Test Status	271
21.2.13	Control of Nonconforming Products	272
21.2.14	Corrective and Preventative Action	272
21.2.15	Handling, Storage, Packaging, Preservation, and Delivery	272
21.2.16	Control of Quality Records	272
21.2.17	Internal Quality Audits	273
21.2.18	Training	273

21.2.19 Servicing	273
21.2.20 Statistical Techniques	273
21.3 The Certification Process	274
21.3.1 Deciding to Go for It	274
21.3.2 The Concept Development Phase	275
21.3.3 The Requirements Development Phase	275
21.3.4 The Unit Development Phase	276
21.3.5 The Preassessment Review	276
21.3.6 The Preassessment Test	277
21.3.7 The Operations Phase	277
21.3.8 The Assessment	277
21.4 Summary	278
Chapter 22 Epilogue	279
22.1 Changing the Corporate Paradigm	279
22.2 Systems Engineering and Management	280
22.3 The Root Cause	281
Acronyms	283
About the Author	287
Index	289