



CMMI[®] Version 1.2

SCAMPISM A Appraisal Method Changes

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Purpose

The purpose of this module is to describe the major changes to the SCAMPI A appraisal method for v1.2.



Revision Process

The CMMI Steering Group provided a long-term strategy and the upgrade criteria for v1.2.

The SCAMPI Upgrade Team (SUT) reviewed change requests to identify possible changes for the v1.2 appraisal method documents: **Appraisal Requirements for CMMI (ARC)** and **Method Definition Document (MDD)**.

The CMMI Steering Group served as the configuration control board for v1.2 changes to the ARC and MDD.

The SUT developed a draft of the ARC and MDD for review by lead appraisers in May 2006.

The ARC and MDD were released as part of the v1.2 CMMI Product Suite.



SCAMPI A V1.2 Major Themes

Reduce complexity and ambiguity

Provide additional guidance where needed

Strengthen appraisal planning and conduct

Strengthen appraisal reporting

Define appraisal validity period

Strengthen lead appraiser requirements



Reduce Complexity¹

The requirement for instruments (e.g., questionnaires) was removed.

Only two types of objective evidence are now required:

- documents
- interviews

The following sections in MDD were revised:

- switched **2.2 Verify and Validate Objective Evidence** and **2.3 Document Objective Evidence** so that the order of tasks reflects the natural order of conducting an appraisal
- separated **Verify Objective Evidence** and **Validate Preliminary Findings** to better describe each process



Reduce Complexity²

The use of the term **instantiation** was changed:

- Instantiation is now defined as “the implementation of a model practice used in the appropriate context within the boundaries of an organizational unit.”
- The word “instantiation” for project and organizational-wide entities was replaced with “project” or “support group.”



Reduce Ambiguity

The rating **Not Rated** was clarified:

- Process areas outside of the model scope are rated as **Out of Scope**. For example, for a maturity level 3 appraisal, maturity level 4 and 5 process areas are rated as **Out of Scope**.
- For process areas that have insufficient data to be rated, the rating is **Not Rated**.
- Process areas in the model scope, but outside the organizational scope are rated as **Not Applicable**. The only process area that can be **Not Applicable** is SAM (as determined by the appraisal team).

The practice characterization tables were revised:

- clarified the use of virtual versus live interviews
- changed “face-to-face interviews” to “oral interviews”



Provide Additional Guidance

Guidance for readiness reviews was revised to include team and logistical readiness.

Additional guidance was provided for using virtual methods (e.g., for interviews and briefings).

Additional guidance was provided for using alternative practices (i.e., Appendix C: Alternative Practice Identification and Characterization Guidance).



Strengthen Appraisal Planning and Conduct

Organizational unit sampling was revised to*

- strengthen parameters and limits for organizational sampling (e.g., identifying a minimum number of focus projects)
- include additional criteria for reporting sampling decisions

The **Conduct Appraisal Phase** must now be complete within 90 days.

Appraisal team members are now required to sign final findings.

*Changes to address sampling were extensive. Refer to the MDD for details.



Strengthen Appraisal Reporting

The Appraisal Disclosure Statement (ADS) now requires the following information.

Organizational sampling criteria and decisions (e.g., projects included, projects excluded, percentage of organization represented)

Basis for maturity/capability level 4 and 5 appraisal results

- subprocesses statistically managed
- mapping of these subprocesses to quality and process-performance objectives

Signatures of both the lead appraiser and sponsor

- The lead appraiser affirms that the appraisal scope is representative of the organizational unit.
- The sponsor affirms the accuracy of the ADS and authorizes the SEI to conduct any audits deemed necessary.



Define Appraisal Validity Period

V1.2 appraisal results are valid for a **maximum of 3 years** from the date of the ADS.

V1.1 appraisals will expire on August 31, 2007 or 3 years after the date the appraisal was conducted, whichever is later.



Strengthen Lead Appraiser Requirements

Prior to conducting a v1.2 SCAMPI appraisal, the following must occur:

- Current candidate and authorized lead appraisers and team leaders must complete CMMI v1.2 Upgrade Training.
- Candidate and authorized lead appraisers must attend SCAMPI Face-to-Face Training.
- Those who want to conduct v1.2 SCAMPI level 4 or 5 appraisals must be certified. Certification requirements address the following:
 - education, training, and experience in level 4 and 5 concepts
 - completion of an oral exam



Summary

The SCAMPI A appraisal method was revised based on change requests received to

- reduce complexity and ambiguity
- provide additional guidance where needed
- strengthen appraisal planning and conduct
- strengthen appraisal reporting
- define the appraisal validity period
- strengthen lead appraiser requirements

The changes are intended to make appraisals more accurate, reliable, and efficient.