

Warning: Do not modify Columns H, I and J. They are hidden and are used for determining the cell colors.

Instructions for Use

Overview This spreadsheet is for use when planning and leading a v1.3 SCAMPI A appraisal. All Required Practices and Parameters and Limits are included verbatim from v1.3 of the MDD. The spreadsheet will automatically adjust the colors based upon your inputs. Green means the activities or set of activities are complete. Yellow means at least one, but not all, of the sub-activities is done. Red means that none of the sub-activities are done.

- 1 Make a new copy for the appraisal.
- 2 When each Required Practice or Parameters and Limits has been completely addressed, enter the completion date into column G. Note the grayed out cells are the only cells active in the color formatting. Entering data into the white cells has no effect.
- 3 By entering the completion date in the gray cells, you will have a record of when the activities were done.
- 4 Columns K and beyond can be used for comments or any additional data desired.

1 Plan and Prepare for Appraisal

1.1 Analyze Requirements

1.1.1 Determine Appraisal Objectives

Required Practices

- Identify sponsor and relevant stakeholders, and establish communication
- Document the business objectives provided by the sponsor and the specific appraisal objectives
- Ensure the alignment of the appraisal objectives to the business objectives
- Determine and document the appraisal usage mode (i.e., Internal Process Improvement, Supplier Selection, Process Monitoring)

Parameters and Limits

At least one communication between the appraisal team leader and sponsor is required.

1.1.2 Determine Data Collection Strategy

Required Practices

- Work with the sponsor or designee to identify the data collection strategy that best aligns with the appraisal objectives and constraints
- Document the planned data collection strategy
- Document the tailoring decisions made using the tailoring checklist in Appendix H - SCAMPI A Tailoring Checklist

Parameters and Limits

The data collection strategy must address:

- the data collection approach (discovery, managed discovery and/or verification)
- the techniques for collecting artifacts (e.g., documents, demonstrations, presentations)
- the techniques for collecting affirmations (e.g., interviews, demonstrations, presentations)
- a high-level schedule for collecting data
- roles and responsibilities for collecting appraisal data

The identified data collection strategy must be documented in the data collection plan, which is part of the overall appraisal plan. The data collection strategy will evolve throughout the appraisal planning process.

1.1.3 Determine Appraisal Constraints

Required Practices

- Establish high-level cost and schedule constraints
- Document model scope of the appraisal and initial rating targets (if any)
- Document initial description of the organizational unit
- Negotiate constraints and objectives with stakeholders to ensure feasibility
- Document negotiated constraints to be met

Parameters and Limits

Constraints identified by the appraisal plan must be negotiated between the sponsor and the appraisal team leader

1.1.4 Determine Appraisal Scope

Required Practices

- Determine and document the reference model scope and representation to be used for the appraisal
- Determine and document the organizational unit to be investigated during the appraisal
- Determine and document the basic units into which people are organized to accomplish the work done by the organizational unit
- Determine and document the support functions that exist and the responsibilities assigned to each function
- Determine and document the sampling factors used to specify the organizational unit and the organizational scope of the appraisal
- Determine and document a mapping between each basic unit or support function and the process areas in the scope of the appraisal
- Determine and document the organizational scope of the appraisal
- Determine and document the list of individuals who will participate in the appraisal

- Determine and document the planned coverage of each process area in the model scope of the appraisal for each basic unit or support function within the organizational scope of the appraisal

Parameters and Limits

The reference model scope shall include the PAs in the selected model(s) and for CMMI models in the representation chosen as well as the associated maximum capability or maturity level targeted.

The reference model scope of the appraisal shall include at least one PA. All practices and goals that are part of the selected PAs must be included; individual practices and goals within a PA shall not be excluded.

When a PA is determined to be outside of the organizational unit's scope of work, the PA is designated as "not applicable" and the rationale for its exclusion must be documented in the appraisal plan and appraisal disclosure statement (ADS).

The organizational scope of the appraisal shall be documented by listing the basic units and support functions selected for participation in the appraisal. The rationale for these selections is based on the way the organization allocates roles and responsibilities to accomplish the work, as well as the sampling factors that affect the way people do the work.

Sampling factors associated with the variety and diversity of conditions under which work is performed in the organizational unit must be recorded during planning. The following candidate sampling factors must be evaluated to determine the organizational scope of the appraisal:

- **Location:** if work is performed differently in different locations (e.g., countries, cities, sites, or installations)
- **Customer:** if work is performed differently depending on the customer served by that work
- **Size:** if work is performed differently based on the size of the basic unit or support function
- **Organizational Structure:** if work is performed differently in different parts of the organizational structure (e.g., different divisions as depicted on an organizational chart)
- **Type of Work:** if work is performed differently based on the "type of work" (e.g., system integration, software development, IT-support services, or help-desk)

Each of these potential sampling factors shall be evaluated for its effect on the conditions under which work is performed in different parts of the organizational unit. Other sources of diversity that affect these conditions shall also be considered as additional potential sampling factors. Examples of sampling factors could include funding source, duration, complexity, or other factors that affect the conditions under which work is performed.

Evaluations of potential sampling factors shall be based on the identification of meaningful values (e.g., large or small units; the name of cities where sites are located) into which basic units can be allocated for each sampling factor. The number of subgroups is determined by analyzing all combinations of values within the sampling factors. The result is a set of subgroups that represents the potentially unique conditions under which work is performed across the organizational unit.

Potential sampling factors that do not drive differences in conditions under which work is performed may reasonably be excluded. Rationale for inclusion or exclusion of these factors in determining a representative sample shall be documented in the appraisal plan, along with the subgroups defined by the combination of all relevant sampling factors.

Subgroups defined using the sampling factors represent determined to be relevant represent clusters of similar conditions for process implementation. These subgroups contain one or more basic units that are candidates to participate in the appraisal data collection activities (i.e., supply artifacts and/or affirmations). Establish a representative sample for the organizational unit by selecting basic units from each of the subgroups according to the following formula:

Minimum number of Basic Units to be selected from a given subgroup = (Number of subgroups X Number of Basic Units in the given subgroup) / Total number of Basic Units

The computed value of the formula above may generate a fractional number. If the computed value using this formula is less than 1, then the required number of basic units shall be 1. Fractional values (greater than 1) resulting from the computation shall be subject to standard rounding rules (i.e., 1.51 becomes 2 and 1.49 becomes 1). The organizational scope of the appraisal is defined as the set of basic units selected using the process described above and the identified support functions. This set of organizational entities shall provide data for the model scope of the appraisal, in accordance with the data coverage rules specified below.

The mapping of PAs to basic units and support functions shall be recorded in order to establish how the organizational scope of the appraisal is linked to the model scope of the appraisal. Some PAs may be instantiated in each and every basic unit. Other PAs may be instantiated in a single support function. It is also possible that a given PA is instantiated in parallel support functions that exist within given subgroups, or are shared across a number of subgroups.

The following coverage rules ensure corroboration of objective evidence from multiple independent sources across the set of basic units or support function sampled.

Coverage Rules for Process Areas

Coverage–1: Objective evidence provided for a process area must address all practices that are part of that process area. For CMMI models, this includes all specific practices as well as all generic practices included in the scope of the process area. Each basic unit or support function sampled must address all practices in the process areas for which they supply data.

Coverage–2: In terms of the organizational coverage of a process area, the design of the process in the organization may lead to process areas implemented by one of the following:

- an individual basic unit within a subgroup
- a single support function that serves the entire organizational unit
- a set of support functions that each serve different parts of the organizational unit
- some hybrid of the above where the groupings of basic units in subgroups would be too limiting (It would make sense to ‘collapse the subgroups together’ for the purpose of looking at this process area because of the level of standardization.)

As an exception to the following coverage rules specified for basic units below, the implementation of a process area in a standardized manner across subgroups may reduce the data collection needs. By documenting rationale in the appraisal plan, the appraisal team leader may define a data collection strategy that collapses the subgroups when considering process areas implemented in a highly standardized fashion.

Coverage Rules for Basic Units

Coverage–1: For each subgroup, both artifacts and affirmations shall be provided for at least one basic unit for every process area implemented by basic units within that subgroup. This sampled basic unit shall provide data for all process areas. Selection of this basic unit must consider the schedule of work (e.g., lifecycle stage) achieved, in order to maximize coverage of the process areas. In cases where this sampled basic unit would have “not yet” characterizations in a process area, additional basic units must be sampled to cover that process area (unless no other basic units remain to be sampled in the subgroup).

Coverage–2: For at least 50 percent of the sampled basic units in each subgroup, both artifacts and affirmations shall be provided for at least one process area implemented by basic units within that subgroup.

Coverage–3: For all sampled basic units in each subgroup either artifacts or affirmations shall be provided for at least one process area implemented by basic units within that subgroup.

For subgroups with only one sampled basic unit, satisfaction of the first rule leads to satisfaction of the other two rules.

Coverage Rules for Support Functions

Coverage–1: Both artifacts and affirmations shall be provided for each support function for all process areas relating to the work performed by that support function.

Coverage–2: The artifacts and affirmations provided by support functions shall demonstrate the work performed for basic units for at least one sampled basic unit in each subgroup. This applies for each process area relating to the work performed by that support function for basic units. For example, quality assurance or configuration management functions would provide data on the application of PPQA or CM respectively. The linkage of the functions to assure quality or maintain configurations of key work products related to other process areas does not mean these support functions must address all the practices in those other process areas.

Coverage–3: In cases where multiple support functions exist within the organizational unit, all instances of the support function shall be included in the appraisal scope. For example, if division-specific Configuration Management groups exist, every group in each division included in the organizational unit must be sampled.

Organizational unit size (i.e., number of people and number of basic units) and sizes of basic units (i.e., number of people) in the organizational scope shall be documented in the appraisal plan as well as the percentage ratio of these two measures:

- Population percent: the number of people in the organizational scope divided by the number of people in the organizational unit (x100)
- Basic unit percent: the number of basic units in the organizational scope divided by the number of basic units in the organizational unit (x100)

Basic units that are specifically excluded from participating in the appraisal (though they are included in the definition of the organizational unit) must be identified in the appraisal plan and in the appraisal disclosure statement along with a justification for their exclusion. Such exclusions might arise from logistical constraints identified during planning – such as unplanned urgent customer demands. Units that are not part of the organizational unit need not be listed in this manner – as the results do not apply to them.

The appraisal team reserves the right to seek clarification or data from other basic units or support functions within the organizational unit, beyond those specified in the data collection plan. These basic units or support functions must also be identified in the appraisal disclosure statement.

The organizational scope to be investigated during the appraisal will drive the selection of participants needed to provide sources of objective evidence. An initial determination of appraisal participants, by name and role, must be negotiated with the appraisal sponsor and/or the senior site manager as part of the early determination of organizational scope. This initial determination will be refined later during detailed appraisal planning.

If the Conduct Appraisal phase is to be performed using incremental subsets of the organizational unit or the model, the appraisal plan must identify the organizational scope and appraisal reference model scope for each increment.

Delta appraisals are not permitted. A delta appraisal is defined as a second appraisal performed on a subset of an original appraisal model scope after correcting weaknesses reported in the previous appraisal, and then combining the results of the second appraisal with the results of the parts of the first appraisal that were not investigated in the second appraisal to get new results.

1.1.5 Determine Outputs

Required Practices

- Review required SCAMPI A outputs with the appraisal sponsor
- Review and select optional SCAMPI A outputs with the appraisal sponsor

Parameters and Limits

Required SCAMPI A outputs include:

- appraisal record (see Activity 3.2.2, Generate Appraisal Record)
- SEI data (see Activity 3.2.3, Provide Appraisal Feedback to the SEI)

	<p>At least all the goals for the process area or process areas within the model scope must be rated for the organizational unit, although the choice may be made to not disclose the ratings to anyone other than the appraisal sponsor. Ratings for individual disciplines or for individual basic units, unless the basic unit is the organizational unit, are not allowed.</p> <p>The sponsor shall receive the appraisal record, which includes:</p> <ul style="list-style-type: none"> • final findings, including statements of strengths and weaknesses documented for every PA investigated • all ratings planned for and generated by the team • the ADS <p>The appraisal team leader and sponsor are required to sign the ADS</p>	
1.1.6 Obtain Commitment to Initial Appraisal Plan		
Required Practices		
	<ul style="list-style-type: none"> • Record required information in the initial appraisal plan • Obtain sponsor approval of the initial appraisal plan • Manage changes to the initial appraisal plan, obtaining sponsor approval of changes 	
Parameters and Limits		
	<p>The appraisal plan is often generated incrementally throughout the Plan and Prepare for Appraisal phase, and must be approved prior to the start of the conduct appraisal phase. The initial appraisal plan addresses the requirements of the appraisal, and guides future appraisal planning. At a minimum, the initial appraisal plan provides the information needed to address the following:</p> <p>SEE APPRAISAL PLAN CONTENT TAB FOR DETAILS</p>	
1.2 Develop Appraisal Plan		
1.2.1 Tailor Method		
Required Practices		
	<ul style="list-style-type: none"> • Review and select tailoring options within each activity. • Ensure that the tailoring decisions are self-consistent and that they are appropriate in light of the appraisal objectives and constraints. • Document the tailoring decisions made in the appraisal plan 	
Parameters and Limits		
	<p>The structure of the MDD clarifies which SCAMPI A features are required. Parameters and Limits sections define the allowable variation within these method requirements. Tailoring guidance and Implementation Guidance are provided to assist with tuning the method to fit sponsor objectives and appraisal constraints.</p>	
1.2.2 Identify Needed Resources		
Required Practices		
	<ul style="list-style-type: none"> • Identify appraisal team members. • Identify appraisal participants. • Identify equipment and facilities. • Identify other appraisal resources needed. • Document resource decisions in the appraisal plan. 	
Parameters and Limits		
	<p>The level of detail in the identification of needed resources must be sufficient to support the creation of the appraisal plan. At a minimum, the appraisal team leader must identify the following:</p> <ul style="list-style-type: none"> • the names of people who are candidates for affirmations or appraisal team membership, and support personnel • the organizational or basic unit affiliation of these people • the location, seating capacity, and configuration of rooms to be used by the team • specific equipment needed (e.g., overhead projector, laptop projector, or video-conferencing) 	
1.2.3 Develop Data Collection Plan		
Required Practices		
	<p>Document the data collection plan</p>	
Parameters and Limits		
	<p>The data collection plan must specify contingencies to manage the risk of having insufficient data</p>	

For every instantiation of every model practice, the data collection plan must specify how, when, and by whom the objective evidence will be verified

For instantiations of model practices that have not been addressed in the initial objective evidence, the data collection plan must specify how the team intends to discover the presence or absence of objective evidence that characterizes the extent of implementation for that practice.

The data collection plan is considered part of the appraisal plan and is often documented in a variety of artifacts, which may be completed at different phases of appraisal planning. The data collection plan includes

- documentation of the approach to data collection strategy (see activity 1.1.2, Determine Data Collection Strategy)

- identification of participants to be involved in affirmation activities
- assignment of PAs to team members
- the schedule and success criteria for readiness reviews
- the approach for using Class C and Class B appraisals for data collection and/or readiness reviews (if they are used for this purpose)
- a summary of initial objective evidence provided by the organization
- identification of highest priority data needs
- a schedule of interview-gathering events, revised over time to include more detail
- for interviews, the identification of an initial set questions (this may be maintained outside of the overall appraisal plan)
- identification of artifacts still needed after the performance of readiness reviews (if any)
- risks associated with the sufficiency of the data and the adequacy of the schedule

1.2.4 Determine Cost and Schedule

Required Practices

- Estimate the duration of key events as a basis for deriving a comprehensive schedule.
- Estimate the effort required for the people participating in the appraisal.
- Estimate the costs associated with using facilities and equipment as appropriate.
- Estimate the costs for incidentals (e.g., travel, lodging, meals) as appropriate.
- Document a detailed schedule in the appraisal plan.
- Document detailed cost estimates in the appraisal plan.

Parameters and Limits

Scheduling for each day of the appraisal is required.

1.2.5 Plan and Manage Logistics

Required Practices

- Document logistical schedules and dependencies.
- Maintain communication channels for providing status.
- Assign responsibilities for tracking logistical issues.

Parameters and Limits

None

1.2.6 Document and Manage Risks

Required Practices

- Identify appraisal risks.
- Develop mitigation plans for key appraisal risks, and implement these plans as necessary.
- Keep the appraisal sponsor and other stakeholders informed of the appraisal risk status.

The risks and mitigation plans identified through conducting this activity are required elements of the appraisal plan (see Parameters and Limits for activity 1.2.7, Obtain Commitment to Appraisal Plan). If an identified risk occurs during appraisal execution then this should be documented in the plan.

The appraisal team leader is responsible for keeping the appraisal sponsor informed of risk management activities so that, if needed, timely sponsor intervention is possible to ensure the achievement of appraisal objectives

Parameters and Limits

When evaluating risks to an appraisal plan the following potential risk areas must be considered:

- personnel
- logistics
- technical
- facilities
- schedule

1.2.7 Obtain Commitment to Appraisal Plan

Required Practices

- Document the appraisal plan.
- Review the appraisal plan with the sponsor and secure the sponsor's approval.
- Provide the appraisal plan to relevant stakeholders for review.

Parameters and Limits

Required contents of the appraisal plan include the following, at a minimum:

- the initial appraisal plan (see activity 1.1.6, Obtain Commitment to Initial Appraisal Plan)
- the activities to be performed in conducting the appraisal
- resources needed for conducting the appraisal (see activity 1.2.2, Identify Needed Resources)
- data collection plan (see activity 1.2.3, Develop Data Collection Plan)
- cost and schedule estimates for performing the appraisal (see activity 1.2.4, Determine Cost and

Schedule)

- appraisal logistics (see activity 1.2.5, Plan and Manage Logistics)
- risks and mitigation plans associated with appraisal execution (see activity 1.2.6, Document and Manage Risks)

There must be a signature block for the appraisal team leader and the sponsor to indicate in writing their commitment to the plan. If minor updates are made to the plan, signatures do not have to be obtained again. If changes affect the scope (mode or organizational) of the appraisal, then the plan must be re-baselined.

At a minimum, the appraisal team members are considered relevant stakeholders and should receive a copy of the approved appraisal plan.

1.3 Select and Prepare Team

1.3.1 Identify Appraisal Team Leader

Required Practices

- Select an authorized SCAMPI Lead Appraiser to serve as the appraisal team leader
- Verify the qualifications of the appraisal team leader (experience, knowledge, and skills).

Parameters and Limits

The appraisal team leader must be an SEI-certified SCAMPI Lead Appraiser in good standing (or a candidate SCAMPI Lead Appraiser being observed by a Qualified Observing Lead Appraiser). This certification can be verified on the web or by contacting the SEI directly.

If the SCAMPI A to be performed includes the rating of High Maturity Process Areas, the appraisal team lead must be an SEI-certified High Maturity Lead Appraiser in good standing. This certification can be verified on the web, or by contacting the SEI directly.

There can be only one official appraisal team leader on any given appraisal. The appraisal team leader has sole discretion to delegate important tasks to appraisal team members, but cannot delegate leadership responsibility or ultimate responsibility for the successful completion of the appraisal. The inclusion of multiple SCAMPI Lead Appraisers on a team for a given appraisal can be a strong asset for the leader of that team. However, the single designated appraisal team leader must perform the leadership role and manage the appraisal process.

1.3.2 Select Team Members

Required Practices

- Select individual team members that meet the minimum criteria for individual team members.
- Select individual team members that collectively meet the minimum criteria for the team as a whole.
- Document the qualifications and responsibilities of team members in the appraisal plan

Parameters and Limits

The appraisal team leader must use professional judgment and evaluate, at a minimum, the following potential conflicts of interest, review them with the sponsor and ensure detailed documentation and rationale in their appraisal plan:

- Are any team members authors of one or more processes included in the scope of the appraisal?
- Are any members of the organization’s process group serving on the appraisal team?
- Are any “process owners” serving as appraisal team members?
- Are staff with supervisory responsibility over one or more parts of the Organizational Unit on the team?
- Are people who served on previous appraisals (Class C, B or A) of the Organizational Unit serving as appraisal team members?
- Are any of the appraisal team members in a direct reporting relationship above any appraisal participants or other appraisal team members, including administrative, functional, basic unit, performance, or technical authority (e.g., supervisory, basic unit, program, technical)?
- Will any of the appraisal team members be interviewed or providing evidence?
- Are members of the appraisal team involved in process or product quality audits?
- If using a translator,
 - a. Is the translator an appraisal team member?
 - b. Does the translator work for the appraised company?
 - c. Does the translator work within the Organizational Unit?
 - d. In support of this appraisal, was the appraisal team leader or any of the appraisal team members providing coaching, consulting, or labor for the OU's project work or process identification, documentation, or creation? (Providing SEI-licensed training is excluded.)

The sponsor of the appraisal shall not be an appraisal team member (see activity 1.3.2 Select Team Members)

Potential conflicts of interest that cannot be avoided, along with the strategy to be used to manage them, are to be documented in the risk management section of the appraisal plan.

The appraisal team leader must keep the appraisal sponsor informed of management activities fro conflicts of interest so that, if needed, timely sponsor intervention is possible to ensure the achievement of appraisal objectives. Caution must be exercised to ensure that confidentiality and non-attribution requirements of the appraisal are maintained.

In the event that conflicts of interest prove unmanageable, or compromise the team's objectivity and ability to reach valid conclusions, the appraisal team lead must take appropriate steps, up to and including termination of the appraisal

The level of effort devoted to conflict of interest management activities is something the appraisal team leader must adjust to fit the existing situation

1.3.4 Prepare Team

Required Practices

- Ensure that appraisal team members have received appraisal reference model training.
- Provide appraisal method training to appraisal team members or ensure that they have already received it.
- Foster team building and establishing team norms
- Provide an orientation to team members on appraisal objectives, plans, and their assigned roles and responsibilities
- Ensure that no appraisal activity (performed by team members) begins until after the method training relating to that activity has been completed.

Parameters and Limits

Model training must be provided using the standard introductory course for the model(s) in scope, delivered by an instructor who is certified by the SEI.

At a minimum, all team members must be trained on the following topics using information from the SCAMPI A team training materials provided by the SEI:

- SCAMPI A method overview
- appraisal planning, including the contents of the appraisal plan
- objective evidence collection and analysis
- team decision making
- appraisal confidentiality and non-attribution
- practice characterization
- findings development, verification, and validation
- rating
- appraisal output requirements

For teams involved in U.S. government source selection or process monitoring appraisals, team members must also be trained in:

- applicable laws, regulations, and policies that affect the appraisal such as Federal Acquisition Regulations and DoD service or organizational regulations and policies
- role of the appraisal and the appraisal team in source selection or process monitoring processes and structures
- limitations on findings development, validation, and release
- special domain and/or model requirements (e.g. space, command and control, information technology, supplier sourcing, and statistical process management)

Appraisal activities may not be performed until the method training for those activities has been provided.

Three configurations of method training are recognized:

- to a single appraisal team
- to multiple appraisal teams in a single event
- to a large group of potential future team members who are not currently engaged in an appraisal

When appraisal method training will be delivered to more than one appraisal team in a single event, the SEI must be notified in writing (e.g. via email), at least 30 days prior to the first day of training. When method training is delivered in this way, care must be exercised to ensure that confidentiality of information is maintained between organizations.

Method training delivered to groups of potential future team members must cover the complete set of tailoring options and allowable variations for the method to prepare them for a range of situations they are likely to encounter on future appraisals. When method training is to be delivered in this way, the SEI must be notified, in writing (e.g., via email), at least 30 days prior to the first day of training.

Team members who have previously received SCAMPI A team training are not automatically qualified to participate on an appraisal without first attending method training. In such cases, the appraisal team leader is required to understand the nature of the training delivered previously and the adequacy of that training for the appraisal at hand.

There must be at least one event where the team gathers as a group for the purpose of establishing team norms and make operational decisions about how the team will work for the appraisal at hand. Even if all team members have previously been trained in the method, there must be a team orientation session that brings the team together in order to identify potential issues with team operation.

Any training-related waivers must be documented in the appraisal plans.

Individuals who are not SEI-Certified SCAMPI Lead Appraisers or People CMM Appraisers may not deliver appraisal method training.

Due to the confidentiality required during an appraisal and the cohesiveness needed to participate in appraisal activities, observers are not permitted to participate in the appraisal processes. The only exception is an observer who is authorized by the SEI.

1.4 Obtain and Inventory Initial Objective Evidence

1.4.1 Obtain Initial Objective Evidence

Required Practices

- Obtain data reflecting the implementation of model practices among sample Basic Units and support functions within the Organizational Unit.

Parameters and Limits

At a minimum, the organization must provide a list of artifacts that are relevant to understanding the processes in use among sample Basic Units and support functions within the Organizational Unit, unless a discovery-based appraisal has been planned. This list must be mapped to the model practices that are in the scope of the appraisal.

This activity does not replace the activities in section 2.2, Examine Objective Evidence.

1.4.2 Inventory Objective Evidence

Required Practices

- Examine the initial set of objective evidence provided by the organizational unit, unless a discovery-based appraisal has been selected.
- Determine the extent to which additional objective evidence is needed for adequate coverage of model practices.

Parameters and Limits

Information provided by the organizational unit must be detailed enough to understand the extent to which each type of objective evidence (i.e., artifacts and affirmations) is available for each process instantiation for each model practice within the scope of the appraisal. This initial review of objective evidence identifies model practices for which the team may decide it has

- strong objective evidence
- no objective evidence
- conflicting objective evidence
- inconsistent objective evidence
- insufficient objective evidence

In the process of inventorying the available objective evidence, potential alternative practices must be considered. Any objective evidence for such practices must be determined as early as possible. See Appendix B, Alternative Practice Identification and Characterization Guidance, for information on identifying acceptable alternative practices.

Key artifacts are identified that can be used to gain insight regarding a number of model practices. These artifacts contain potential high-leverage information and may be good candidates for early review by team members.

Identify additional objective evidence needs relative to model practices for each basic unit or support function within the scope of the appraisal. This activity does not replace the activities in section 2.2, Examine Objective Evidence.

1.5 Prepare for Appraisal Conduct

1.5.1 Perform Readiness Review

Required Practices

- Determine whether the objective evidence for each for each instance of each practice in the appraisal scope is adequate to proceed with the appraisal as planned (refer to activity 1.4.2, Inventory Objective Evidence)
- Determine whether the appraisal team is prepared to conduct the appraisal (refer to activity 1.3.4, Prepare Team)
- Ensure the appraisal logistics (e.g. facilities, equipment, and participant availability) have been arranged and confirmed (refer to activity 1.2.5, Plan and Manage Logistics)
- Review identified appraisal risks to determine status and impact to conducting the appraisal as planned (see to activity 1.2.6, Document and Manage Risks)
- Review the feasibility of the appraisal plan in light of data readiness, team readiness, logistics readiness, and overall risk.

Parameters and Limits

The number of Readiness Reviews planned and their dates must be documented in the data collection plan. Explicit criteria for determining readiness must be established by the appraisal team leader. These criteria must be documented in the data collection plan. At least one Readiness Review must be conducted.

	<p>The conduct of the Readiness Review may trigger the start of the 90 day constraint for accomplishing Phase II activities. If team members perform document review during the Readiness Review (for the purpose of data collection to support characterization) or if any practice characterizations are determined - then the Readiness Review starts the "90 day clock" for conducting Phase II activities. If the plan calls for such document review or characterization, then the entire team must participate in the Readiness Review where those activities are carried out.</p> <p>A Readiness Review may not be used to identify weaknesses in the organization's implementation with the intent to fix them prior to the beginning of the Conduct Appraisal Phase.</p> <p>If the performance of the Readiness Review for a SCAMPI A is integrated with the performance of a class B or Class C appraisal, then the following constraints apply:</p> <ul style="list-style-type: none"> - The Phase II start date of the class B or class C appraisal is taken as the start of the 90 day period of performance for Phase II of the SCAMPI A appraisal - The draft appraisal plan for the SCAMPI A must be written prior to the start of Phase I of the class B or class C appraisal <p>The performance of class B or class C appraisals in advance of the SCAMPI A does not require performance of Readiness Review activities. The constraints above apply only in situations where Readiness Review activities are carried out along with the class B or class C appraisal activities.</p>	
1.5.2 Re-plan Data Collection		
Required Practices		
	<ul style="list-style-type: none"> • Review the current inventory of objective evidence and determine model practices for which the objective evidence is inadequate relative to the appraisal plan. • Revise the data collection plan as necessary based on the appraisal status and availability of objective evidence. • Renegotiate the appraisal plan with the sponsor if the appraisal cannot proceed as planned. 	
2 Conduct Appraisal		
2.1 Prepare Participants		
2.1.1 Conduct Participant Briefing		
Required Practices		
	<ul style="list-style-type: none"> • Brief appraisal participants on the appraisal process. • Provide orientation to appraisal participants on their roles in the appraisal. 	
Parameters and Limits		
	<ul style="list-style-type: none"> • Participants must reconfirm their availability to participate in the appraisal. 	
2.2 Examine Objective Evidence		
2.2.1 Examine Objective Evidence from Artifacts		
Required Practices		
	<p>Update the inventory of artifacts used as a source of objective evidence</p> <p>Review information obtained from artifacts and determine if it is acceptable as objective evidence.</p> <p>Determine the model practices corresponding to the objective evidence obtained from artifacts</p> <p>Determine the portions of the organizational unit that correspond to the objective evidence obtained from artifacts</p> <p>Review artifacts and determine the extent to which model practices have been implemented in the Organizational Unit</p>	
Parameters and Limits		
	<p>The appraisal team must evaluate the content artifacts to determine how they support model practice implementation</p> <p>If the appraisal team performs any part of this activity during any Readiness Review or other appraisal preparation activity, the Conduct Appraisal phase has begun, and the appraisal must be completed within 90 days.</p> <p>Artifacts used as objective evidence must have been created or revised prior to the start of the Conduct Appraisal phase. The team may request to view artifacts that result from recurring activities, even if the activity occurred after the start of the appraisal. In no case would an artifact created after the start of the appraisal be accepted as the only artifact demonstrating the implementation of a practice.</p>	

2.2.2 Examine Objective Evidence from Affirmations

Required Practices

- Establish and maintain an inventory of affirmations used as a source of objective evidence
- Conduct affirmation activities to obtain information that may be used as objective evidence.
- Review information obtained from affirmations and determine if it is acceptable as objective evidence.
- Determine the model practices corresponding to the objective evidence obtained from affirmations
- Determine the portions of the organizational unit that correspond to the objective evidence obtained from affirmations
- Review information from affirmations and determine the extent to which model practices have been implemented in the Organizational Unit

Parameters and Limits

All SCAMPI A appraisals must use affirmations as a source of information on the extent to which practices have been implemented in the organizational unit and within the sampled Basic Units and support functions. Sessions where affirmations are sought and collected must include at least two members of the appraisal team designated by the appraisal team leader.

Whenever virtual methods such as video conferences, teleconferences, and other similar technologies are used for affirmations, the appraisal team leader must ensure that these methods do not compromise the integrity or accuracy of the appraisal activities or the appraisal results.

Sufficient affirmations must be obtained to meet the coverage specified in the data collection plan. Steps must be taken to ensure open communication during affirmations by addressing potential issues among interviewees and team members (e.g., presence of supervisors or process owners).

The rules of confidentiality and the expected use of appraisal data must be communicated to every interviewee.

If the appraisal team performs any part of this activity during any Readiness Review or other appraisal preparation activity, the Conduct Appraisal phase has begun, and the appraisal must be completed within 90 days.

2.3 Document Objective Evidence

2.3.1 Take/Review/Tag Notes

Required Practices

- Record notes obtained from objective evidence data-gathering sessions.
- Relate notes to corresponding practices in the appraisal reference model.

Parameters and Limits

Every team member present must take notes during interviews and presentations. These notes must cover all areas investigated during the interview, and are not limited to the PAs assigned to the individual team member (i.e., everybody takes notes on everything).

During document reviews, notes must be taken to preserve specific context or focused references, if the rationale for accepting the objective evidence is not self-evident.

2.3.2 Record Presence/Absence of Objective Evidence

Required Practices

- For each instantiation, record the presence or absence of objective evidence collected for each reference model practice within the appraisal scope.

Parameters and Limits

The inventory of objective evidence (be it in electronic or paper form) is updated to reflect what the data imply about the implementation of particular practices. For every practice within the reference model scope of the appraisal, annotations indicating the presence or absence of objective evidence will be made throughout the appraisal conduct. The annotation scheme used must ensure that the record reveals the following information:

- the basic unit or support group to which the data apply
- the specific or generic practice to which the data apply
- the type of objective evidence being recorded (i.e., artifact or affirmation)
- whether the data imply the presence or absence of the objective evidence
- whether the data suggest that the objective evidence is appropriate
- comments about the appropriateness of the evidence (if needed)
- whether or not additional information is needed before the team can characterize the extent to which the practice is implemented
- a description of what the evidence is, if such a description was not provided by the organization in advance

2.3.3 Document Practice Implementation

Required Practices

- Document gaps in the basic unit or support function's implemented processes relative to appraisal reference model practices.
- Document exemplary implementation in the basic unit or support function's implemented processes relative to appraisal reference model practices

Parameters and Limits

For any practice that is characterized as something other than Fully Implemented, there must be a statement explaining the gap between what the organization does and what the model expects. Statements of practice implementation gaps, presented to the organizational unit in the form of preliminary findings for validation, must be free of references to specific individuals or groups, unless basic unit level findings are planned for the appraisal. Regardless of the medium used, statements describing practice implementation gaps or exemplary implementation of model practices must be annotated with the following identifying information:

- the model component to which the statement relates (i.e., PA, goal, and practice)
- the data collection session(s) in which the information was uncovered
- the basic unit or support function to which the statement applies

2.3.4 Review and Update the Data Collection Plan

Required Practices

- Review the inventory of objective evidence collected and the data collection plan to determine what additional objective evidence is still needed for sufficient coverage of the appraisal reference model scope.
- Revise the data collection plan to obtain additional objective evidence for instances where insufficient data are available to judge the implementation of appraisal reference model practices.
- Identify priorities for the upcoming data collection events and reevaluate the feasibility of the schedule in light of the current state of the objective evidence.

Parameters and Limits

This activity must be enacted at least once a day, and a consolidated summary of the appraisal data collection status must be available to the team at the start of each day during which data collection events are planned.

2.4 Verify Objective Evidence

2.4.1 Verify Objective Evidence

Required Practices

- Verify the appropriateness of artifacts provided by basic units or support functions to enable adequate understanding of the extent of implementation of each practice within the appraisal reference model scope
- Verify the appropriateness of affirmations provided by people from basic units or support functions to enable adequate understanding of the extent of implementation of each practice within the appraisal reference model scope

- Verify that the artifacts and affirmations provided are sufficient to cover the organizational and model scope of the appraisal

Parameters and Limits

DATA ADEQUACY RULES

Artifacts: for an artifact to be accepted as evidence of practice implementation, it must be a product or by-product of the practice being examined by the appraisal team

Affirmations: for an affirmation to be accepted as evidence of practice implementation, it must be supplied by an individual who participated in the implementation of the practice being examined by the appraisal team

Data Sufficiency: Verify that all data (i.e., artifacts and/or affirmations) are provided for all sampled basic units and support functions for the model scope of the appraisal, in accordance with the coverage rules specified in section 1.1.4 Determine Appraisal Scope, and documented in the data collection plan.

Coverage of the Basic Unit or Support Function: For basic units or support functions that encompass multiple disciplines or facets of work, ensure that the objective evidence covers all aspects of the work (e.g., in a systems and software project, looking only at evidence relating to software engineering is inadequate).

2.4.2 Characterize Implementation of Model Practices and Generate Preliminary Findings

Required Practices

- Characterize the extent to which appraisal reference model practices are implemented
- Aggregate practice implementation characterization values to the organizational unit level.
- Document summary level weaknesses in practice implementation, if appropriate
- Document summary level strengths in practice implementation, if appropriate
- Generate and verify preliminary strengths and weaknesses

Parameters and Limits

Characterization of the implementation of each practice in each basic unit or each support function is assigned according to the table below. These initial characterizations may be assigned through consensus of a mini-team (consisting of more than one team member), or may be based on the consensus of the entire appraisal team

Judgments described in the table below are contingent on the appraisal scope and requirements for sufficient data, as defined in 1.1.4 and 2.4.1. In some cases, only artifacts will be examined, and in some cases only affirmations will be examined.

Table defining FI, LI, PI, NI, and NY

The table below summarizes rules for aggregating implementation-level characterizations to derive organizational unit-level characterizations. Consensus of all members of the appraisal team is necessary for organizational unit-level characterizations.

The column labeled "Implementations" is the input condition - the pattern of practice implementation characterizations for basic units or support functions. The column labeled "Outcome" is the resultant aggregated practice implementation characterization at the organizational unit level.

Table of rules for aggregating characterizations

For any practice that is characterized other than Fully Implemented, there must be a statement explaining the gap between what the organization does and what the model expects.

Statements of strengths and weaknesses presented to the organizational unit in the form of preliminary findings for validation must be free of references to specific individuals, basic units, or support functions.

Attribution to basic units and support functions is permitted as a tailoring option - if it is planned and communicated to appraisal participants in advance of the data collection activities. However, attribution to individuals shall never be permitted.

Findings (i.e., strengths and weaknesses) must be verified, that is, they must be based on sufficient objective evidence (refer to activity 2.4.1, Verify Objective Evidence) and they must be consistent with other verified findings. Verified findings cannot be both true and mutually inconsistent; in aggregate, they constitute a set of truths about the organizational unit that must be consistent.

Strengths are only documented if the implementation of a practice is exemplary (above and beyond the capability described in the model), and reflects a strong asset of the process in use. An adequate implementation of a model practice is not a strength. Team members use their collective experience and judgment to determine whether or not they have uncovered a strength to highlight in the appraisal findings.

2.5 Validate Preliminary Findings

2.5.1 Validate Preliminary Findings

Required Practices

- Validate preliminary findings (i.e., documented strengths and weaknesses) with members of the organizational unit.

Parameters and Limits

Every model practice characterized as Not Implemented, Partially Implemented, or Largely Implemented at the organizational unit level, must have at least one weakness associated with it.

At least one appraisal participant from each basic unit or support function providing objective evidence and from any associated staff function must participate in the set of validation activities.

Only appraisal participants may participate (i.e., only people who provided data may participate in validation).

The minimum number of validation sessions required is one

At the appraisal team lead's discretion, or at the request of the sponsor, weaknesses can be written to describe connections between the weakness and business goals.

The rules of confidentiality and the expected use of appraisal data must be communicated to participants in each validation activity.

2.6 Generate Appraisal Results

2.6.1 Derive Findings and Rate Goals

Required Practices

- Derive final findings using preliminary findings statements, feedback from validation activities, and any additional objective evidence collected as a result of the validation activities.
- Rate each goal within the reference model scope of the appraisal, based on the practice implementation characterizations at the organizational unit level, as well as the aggregation of weaknesses associated with that goal.
- Obtain appraisal team consensus on the findings statements and ratings generated for the organizational unit level.

Parameters and Limits

When deriving final findings, the aim is to create goal-level statements that summarize the strengths and weaknesses in practice implementation. These statements must be abstracted to the level of the organizational unit, and cannot focus on individual basic units or increments (unless the tailoring option for basic unit- or increment-specific findings has been agreed on during planning).

A goal must be rated Not Rated if there are any associated practices that are not characterized at the organizational unit level or that are characterized as Not Yet at the organizational unit level.

A goal is rated Not Rated if the associated set of objective evidence does not meet the defined criteria for sufficient data coverage.

The goal is Satisfied if and only if both of the following are true:

- all associated practices are characterized at the organizational unit level as either Largely Implemented or Fully Implemented
- the aggregation of weaknesses associated with the goal does not have a significant negative impact on goal achievement.

For a goal to be rated as Unsatisfied, the team must be able to describe how the set of documented weaknesses (or single weakness) led to this rating.

2.6.2 Determine Satisfaction of Process Areas

Required Practices

- If using a continuous representation, assign a capability level to each process area within the scope of the appraisal, based on the highest level for which all specific goals and generic goals within the appraisal scope have been satisfied. (See the parameters and limits section that follow for more information).
- If using a staged representation, rate the satisfaction of each process area within the scope of the appraisal, based on the satisfaction ratings assigned to all goals included in that process area. See the parameters and limits section (below) for a more specific discussion.

- If any of the goals are rated Not Rated and none of the other goals are rated Unsatisfactory, then the process area is rated Not Rated.
- When a PA is determined to be outside of the organizational unit’s scope of work, the PA is designated as “not applicable” and is not rated.
- When an applicable PA is outside of the scope of the model used for the appraisal, the PA is designated as “out of scope” and is not rated.

Parameters and Limits

For an appraisal using a continuous representation, the following table defines the basis for capability level ratings (Table for CL1, CL2, and CL3)

For an appraisal using a staged representation model, the "satisfied" rating for a process area may depend on the target maturity level for the appraisal - if performing the maturity level rating was selected by the appraisal sponsor.

2.6.3 Determine Process Area Profile

Required Practices

If a process area profile was selected as an output by the sponsor, the appraisal team shall generate a process area profile depicting the ratings for each process area within the scope of the appraisal.

Parameters and Limits

A simple bar chart is used for this display. Each PA is represented in a single bar along the horizontal axis, and the vertical axis represents the rating dimension (i.e., "Satisfied" vs. "Unsatisfied" or a capability level of 0, 1, 2, or 3). The height of each bar communicates the rating of the PA represented. Capability levels take only the values 0, 1, 2, or 3. Intermediate values (e.g. 2.7) are not defined for this appraisal outcome, and any embellishment of the Capability Profile with such values is outside the boundaries of SCAMPI A

Satisfaction ratings, which may take on one of two values "Satisfied" or "Unsatisfied" for each process area, are used when the appraisal is using the staged representation.

2.6.4 Determine Maturity Level

Required Practices

If a maturity level rating was selected as an output by the sponsor, the appraisal team shall assign the maturity level based on the ratings assigned to process areas.

Parameters and Limits

When using the staged representation, the maturity level determined is the highest level at which all PAs contained within the maturity level, and within all lower maturity levels, are rated as Satisfied or Not Applicable. (Note: as explained in the parameters and limits for rating process areas, to achieve maturity level 3, CMMI models also require satisfaction of generic goal 3 for process areas staged at maturity level 2).

When using the continuous representation, please consult the discussion of equivalent staging in the reference model for an explanation of the capability level profiles required for each maturity level rating. To determine a maturity level as an output of the appraisal, the model scope of the appraisal must include the minimum set of PAs required by the appraisal reference model.

2.6.5 Document Appraisal Results

Required Practices

- Document the final findings.
- Document the rating outcome(s).
- Document the ADS

Parameters and Limits

The ADS and the set of appraisal outputs agreed on with the appraisal sponsor must be documented. The ADS, the goal ratings, and the associated findings must be documented as a part of the appraisal information returned to the SEI.

3 Report Results

3.1 Deliver Appraisal Results

3.1.1 Deliver Final Findings

Required Practices

- Provide appraisal final findings, signed by the appraisal team leader and all appraisal team members, to the appraisal sponsor.
- Provide an ADS to the appraisal sponsor summarizing the appraisal results and conditions under which the appraisal was performed. Use the ADS template provided by the SEI. The ADS must be signed by the appraisal team leader and appraisal sponsor.

Parameters and Limits

Required elements of the final findings include:

- a summary of the appraisal process
- the findings (i.e., summary of strengths and weaknesses)
- signed verification that the appraisal team leader and all appraisal team members agree with the findings and any ratings reported

Appraisal team consensus must be obtained on the wording of the final findings, to ensure that the whole team supports the accuracy of the described appraisal results.

The team, when delivering the final findings, must adhere to some important principles:

- If a model component is reported as Unsatisfied, the corresponding findings of weaknesses that caused the team to make that judgment must also be reported.
- Confidentiality and non-attribution principles apply to statements made in the presentation of final findings.

3.1.2 Conduct Executive Session(s)

Required Practices

If the option is selected, hold a private meeting between the appraisal team leader and the sponsor, including any participants invited by the sponsor.

Parameters and Limits

If an executive session is conducted, the confidentiality and non-attribution of data sources must be maintained.

3.1.3 Plan for Next Steps

Required Practices

None.

3.2 Package and Archive Appraisal Assets

3.2.1 Collect Lessons Learned

Required Practices

None.

Parameters and Limits

Lessons learned must adhere to the same principles of confidentiality and non-attribution applicable to other appraisal results.

3.2.2 Generate Appraisal Record

Required Practices

- Collect and baseline appraisal data that becomes part of the permanent records provided to appraisal stakeholders.
- Document the satisfaction of all SCAMPI A requirements.
- Generate the appraisal record from baselined planning and execution data collected throughout the appraisal.
- Deliver the appraisal record to the appraisal sponsor.

Parameters and Limits

Required contents of the appraisal record include the following:

- appraisal plan
- objective evidence, or identification thereof, sufficient to substantiate goal-rating judgments
- characterizations of practice implementation determined at the instantiation level and aggregated at the organizational unit level
- identification of the appraisal method (and version) used along with any tailoring options
- final findings
- * goal level ratings
- all optional ratings rendered during the appraisal (PA ratings, capability levels, maturity levels, etc.)
- ADS

Appraisal data must comply with rules for non-attribution, confidentiality, protection of proprietary information, and applicable laws, regulations, or standards (e.g., acquisition regulations or security classification). Recipients are expected to place the appropriate limitations on the access and use of the provided appraisal data.

The appraisal team leader documents in the ADS that all SCAMPI A requirements were satisfied.

3.2.3 Provide Appraisal Feedback to CMMI Steward

Required Practices

Submit the completed appraisal data package as required by the SEI.

The appraisal data package consists of

- approved ADS
- approved appraisal plan
- the final findings presentation or report

Parameters and Limits

The SEI defines the specific set of data required for submission at the completion of an appraisal. Submission of the appraisal data package is required for the appraisal to be recorded in the SEI's database of appraisal results. This data is also a requirement established by the SEI to maintain SCAMPI Lead Appraiser authorization.

3.2.4 Archive and/or Dispose of Key Artifacts

Required Practices

- Archive or dispose of key artifacts collected by the appraisal team.
- Return objective evidence provided by the organizational unit.

Parameters and Limits

In all usage modes of SCAMPI A, strict non-attribution policies apply. Confidentiality and non-disclosure agreements established with the appraisal team members remain in effect.

MDD Process	Tailoring Options	Option Chosen (Y/N)	Tailoring Rationale (Provide a brief explanation if this option was chosen)
1.1.1 Determine Appraisal Objectives	Appraisal usage mode		Internal Process Improvement, Supplier Selection, or Process Monitoring
1.1.2 Determine Data Collection Strategy	Collection of objective evidence during the planning or conduct phase or combinations of both approaches		Discovery, managed discovery, verification
1.1.4 Determine Appraisal Scope	Use of incremental appraisals		
1.1.5 Determine Outputs	Selection of optional ratings and findings		Optional findings: non-model findings, final report, recommendations, process improvement action plan, basic unit specific findings Optional ratings: process area, maturity level, Reference waiver
1.3.2 Select Team Members	Deliver Appraisal Method training to more than a single team at the same event		
1.3.2 Select Team Members	Accept one team member with no field experience		
1.3.4 Prepare Team	Teams involved in U.S. government source selection or process monitoring		Specify additional training to be provided
1.4.2 Inventory Objective Evidence	Collection of objective evidence during the planning or conduct phase or combinations of both approaches		Discovery, managed discovery, verification
1.5.1 Perform Readiness Review	Practice characterizations are done before or during the readiness review		Conduct Appraisal Phase begins
1.5.1 Perform Readiness Review	Class B or C (SCAMPI B or C) used as readiness review		Conduct Appraisal Phase begins
1.5.1 Perform Readiness Review	Used as one of the iterative data collection activities in a Managed Discovery approach.		
2.2.1 Examine Objective Evidence from Artifacts	Evaluate the content of artifacts to determine how it supports model practice implementation during readiness review or other appraisal preparation activity		Conduct Appraisal Phase begins
2.2.2 Examine Objective Evidence from Affirmations	Evaluate the information from affirmations to determine how it supports model practice implementation during readiness review or other appraisal preparation activity		Conduct Appraisal Phase begins
2.2.2 Examine Objective Evidence from Affirmations	Use of virtual methods for affirmations		Risk mitigation plan
2.6.2 Determine Process Area Ratings	This is an optional activity selected at the discretion of the appraisal sponsor		
2.6.3 Determine Process Area Profile	This is an optional activity selected at the discretion of the appraisal sponsor		
2.6.4 Determine Maturity Level	This is an optional activity selected at the discretion of the appraisal sponsor		
3.1.2 Conduct Executive Session(s)	This is an optional activity selected at the discretion of the appraisal sponsor		
3.1.3 Plan for Next Steps	This is an optional activity selected at the discretion of the appraisal sponsor		
3.2.1 Collect Lessons Learned	This is an optional activity selected at the discretion of the appraisal sponsor		

(Y/N) Appraisal Plan Checklist

- the identity of the appraisal sponsor and the relationship of the sponsor to the organizational unit being appraised
- the appraisal purpose, including alignment with business objectives (see activity 1.1.1, Determine Appraisal Objectives)
- the organizational unit being appraised
- the appraisal scope (see activity 1.1.4, Determine Appraisal Scope)
 - the organizational scope of the appraisal
 - the appraisal reference model scope
- critical factors affecting the appraisal
- the process context, which includes, at a minimum
 - organizational unit size and demographics
 - application domain, size, criticality, and complexity
 - high-priority characteristics (e.g., time to market, feature richness, and reliability) of the products and services of the organizational unit
- the data collection strategy (see activity 1.1.2 Determine Data Collection Strategy) which include
 - the data collection approach (discovery, managed discovery, and/or verification)
 - the data collection timing (e.g., preparation phase or conduct phase)
 - the data collection techniques (e.g., demonstrations, presentations, interviews and questionnaires)
 - responsibility for data collection
- the appraisal constraints (see activity 1.1.3, Determine Appraisal Constraints), which include, at a minimum
 - availability of key resources (e.g., staffing, funding, tools, and facilities)
 - schedule constraints
 - the maximum amount of time to be used for the appraisal (The maximum time to perform the Conduct Appraisal phase is 90 days.)
 - specific PAs or organizational entities to be excluded from the appraisal
 - the maximum, minimum, or specific sample size or coverage desired for the appraisal
 - ownership of appraisal results and any restrictions on their use
 - controls on information resulting from a confidentiality agreement
 - non-attribution of appraisal outputs to individuals
- the identity of the appraisal reference models used (version, discipline, and representation)
- any PA designated as "not applicable" and the rationale for its exclusion (note that "not applicable" areas may preclude ratings, for some reference models)
- the rationale for selecting the sample basic units and support groups as representative of the organizational unit
- basic units, categories, or groups/functions that are specifically excluded from the appraisal as well as the justification for their exclusion
- the identity and affiliation of the SCAMPI Lead Appraiser who is to be the appraisal team leader for the appraisal
- the identity and affiliation of the appraisal team members and their specific appraisal responsibilities
- the identity (i.e., name and organizational affiliation) of appraisal participants and support staff, and their specific responsibilities for the appraisal
- any additional information to be collected during the appraisal to support the achievement of the appraisal objectives
- a description of the planned appraisal outputs (see activity 1.1.5, Determine Outputs), including ratings to be generated
- anticipated follow-on activities (e.g., reports, appraisal action plans, or re-appraisal)
- planned tailoring of SCAMPI A and associated tradeoffs
- appraisal usage mode (i.e., Internal Process Improvement, Supplier Selection, or Process Monitoring)