CMMI® Appraisal System (CAS)
Three Commonly Flagged Issues

The CMMI Appraisal System (CAS) is currently the only system in which CMMI appraisal results are reported. Quality Management has been noticing trends in commonly flagged issues during appraisal reviews, and this Quality Tip addresses a subset of these issues by providing guidance on reporting and resolution. The following sections describe three reporting issues regularly identified during appraisal quality reviews and offer advice on how to properly report this information in CAS.

Resource Effort Estimates

The Method Definition Document (MDD) requires that Lead Appraisers (LAs) estimate the effort of the appraisal team as well as the appraisal participants and other members of the organizational unit (OU) during the Plan & Prepare for Appraisal (Phase 1) and Conduct Appraisal (Phase 2) phases.

Commonly, LAs are only reporting time spent by the interviewees during Phase 2 for affirmation sessions. However, the intention of this section is to encapsulate the effort estimates for all participants (LA, Appraisal Sponsor, Appraisal Team Members (ATMs), interviewees, briefing attendees, survey respondents, etc.) for all Phase 1 and 2 activities of the appraisal. This includes appraisal team training, readiness reviews, interviews, document reviews, appraisal briefings, OU appraisal preparation, etc.

For further guidance on how to input this information into CAS, please consult our *CAS Help Video* on resource effort estimates.

Project-Level Characterizations and Practice Area (PA) Mapping to the Randomly Generated Sample (RGS)

Project-level characterizations are a required piece of the appraisal data package per the MDD; however, in many cases this information is not being submitted with appraisal records. While there is not a specific upload location for it in the system, the appraisal artifacts must include this information in some format. Project-level characterizations are vital to ensure that data has been collected and evaluated for the projects and support functions as prescribed by the RGS.

Commonly, LAs submit the Appraisal Tool found in the MDD Toolkit – Appraisal Planning and Conduct which has tabs for project characterizations. We ask that project and support function names be clearly labelled in this file in cell 'A1' on the project characterization tabs if using this document. Please refrain from using names for projects and support functions that do not align with names that have been entered into CAS.

LAs are not required to use the Appraisal Tool and may use another template of their own choosing to record and submit this information; however, for ease of review, we ask that LAs clearly convey this information in tabular or other easily reviewed format.

Missing Account Information

ATMs and other participants with appraisal roles (i.e., OU coordinator, Registered Interpreter, Appraisal Sponsor, etc.) should fill in their personal information in their CAS accounts. However, there have been many occurrences of CAS account owners not including their organizational affiliation which leads to misidentification of individuals by LAs in CAS. It is the responsibility of the LA to verify that the correct individual is being added to appraisals. If unsure, the LA should direct the individual to update their CAS account with any missing information.

Questions regarding this Quality Tip can be sent to quality@cmmiinstitute.com.