



# CMMI Appraisal - Required Use of SCAMPI Appraisal System (SAS) Policy

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## Purpose

This policy addresses the required use of the SCAMPI Appraisal System (SAS) for all V1.3 appraisals. This policy includes data submission lead time, minimum data to be documented, and procedures for a notification of exceptions.

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## Scope and Applicability

This policy applies to all Certified CMMI® Lead Appraisers conducting V1.3 appraisals.

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## Background

SAS provides the facility for Certified CMMI Lead Appraisers conducting V1.3 appraisals to establish a record in advance for each appraisal they lead. Use of this system provides an important basis for standardizing appraisal data reporting, and is intended to reduce the overall data entry effort required to maintain the appraisal program. The standardization provides for more timely and consistent analysis of appraisal data, and the associated reporting to stakeholders and constituents. V2.0 appraisals are addressed through the CMMI Appraisal System (CAS).

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## Policy Implementation Detail

The following practices are required when using SAS to report a V1.3 Appraisal:

- CMMI Lead Appraisers are required to establish a new record in SAS at least 30 calendar days before the start date of the Conduct Appraisal phase of the appraisal.
  - A SAS record for each appraisal is created as a new entry by selecting the “new appraisal” button in the “My Appraisals” section of the Appraisal Team Leader’s account on the SAS system at [sas.cmmiinstitute.com](https://sas.cmmiinstitute.com) – the following SAS record fields are required (at a minimum) to create a new entry:
    - A name for the appraisal
    - The appraisal method, version and class (e.g., v1.3, class A)
    - The start date for the Conduct Appraisal phase
    - The name of the Organization and the Organizational Unit being appraised
  - The start of the Conduct Appraisal phase is often referred to as the start of the “onsite period”

- A description of each field can be found in the SAS Users Guide which is available for download from the SAS home page
- Elements of Appraisal Input/Plan which are stored in the SAS record that must be entered at least 7 calendar days prior to the start of the Conduct Appraisal phase are:
  - Model & Method
  - Model Scope
  - Purpose & Usage
  - Instantiations
  - OU Profile
  - FAR Groups
  - Outputs
  - Risks
  - Constraints
- All elements of the Appraisal Plan defined and stored in the SAS record must be entered at least one calendar day before the Conduct Appraisal phase begins. This means that every remaining SAS record field, except for the rating fields, must be complete before the appraisal is conducted.
- Revision of the Appraisal Input and Appraisal Plan contents is governed by the requirements specified in the CMMI Method Definition Document (MDD). Specifically, revisions to the elements of the Appraisal Input require approval by signature of the Appraisal Sponsor. Changes to both the Appraisal Input and Appraisal Plan documents following initial signature by the Appraisal Sponsor are to be tracked using a change log in the document.
- The following process is available for notifying CMMI Institute of appraisals that will require exceptions to the 30-day lead-time to create an appraisal record in SAS:
  - Send an email to [sasset-up@cmmiinstitute.com](mailto:sasset-up@cmmiinstitute.com) containing the following information:
    - The Organization Name and Organizational Unit to be appraised
    - The planned start date for the Conduct Appraisal Phase
    - Brief explanation as to why the 30-day lead-time cannot be met

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## Additional References

- Questions regarding this policy should be directed to [info@cmmiinstitute.com](mailto:info@cmmiinstitute.com).
- Published policies are available at [cmmiinstitute.com](https://cmmiinstitute.com/partners/policies) on the policy page: <https://cmmiinstitute.com/partners/policies>

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## Revision History

Version Number	Date Published	Date Effective	Changes
V2.0	30 September 2019	31 August 2007	Updated format & structure, terminology
V1.0	31 August 2007	31 August 2007	Initial release