

Scoping an Organizational Unit for Sampling

SE, SI, and NY PAs

Guidelines for Sample Eligible (SE), Sample Ineligible (SI) and Not Yet (NY) Practice Areas (PAs)

During Randomly Generated Sample (RGS) scope submission reviews, Quality Management has observed multiple instances of PA/project or support function pairings that have been misidentified. The goal of this Quality Tip is to clarify these errors and address concerns regarding specific RGS PA/project or support function designations.

First, it's important to remember the following:

- Identifying a PA/project or support function pairing as "SE" means that when the Lead Appraiser (LA) and the responsible process lead work to collect evidence for the PA, there will be evidence available that shows the PA's practices being performed specific to that project or support function.
- Identifying a PA/project or support function pairing as "SI" means that insufficient evidence is available at that project or support function's level to show performance of a PA's practices. Such a designation would mean that there is not, and never will be, sufficient evidence specific to the project(s) or support function(s) that shows the full set of practices in scope for the PA to have been performed. If the project or support function has not, and will not, perform the PA, then the targeted Maturity Level could be impacted.
- Identifying a PA/project or support function pairing as "NY" means that, while the full practice set for a PA will eventually be performed for the project, none of those practices have been performed yet.

If any one practice for a given PA has been performed for a project, then the PA/project pairing should be "SE". Any practice that would then be characterized as "NY" during the appraisal must be covered by evidence provided by other projects within the Organizational Unit (OU).

Specific PA Considerations for Projects

Quality Management has observed several instances of projects in scoping submissions that are "NY" for Verification and Validation (VV) but "SE" for Requirements Development and Management (RDM) and Technical Solution (TS). The fact that RDM and TS are performed suggests that some of VV's practices have also been performed due to the nature of these PAs. Given the above definition for "NY," it is recommended that VV be changed to "SE." The readiness review would reveal if more projects from that subgroup need to be added to the sample to provide further evidence against practices that have not yet been performed.

Quality Management has also received RGS submissions in which Causal Analysis and Resolution (CAR) and Decision Analysis and Resolution (DAR) are "NY" for most of the projects in scope. The initial practices of CAR and DAR begin playing a role in the initial stages of a project when other PAs are "SE". Accordingly, it is expected that if other PAs in scope are "SE", then CAR and DAR will be "SE" as well.

Quality Management has also observed CAR and DAR being designated as "SI" for projects. Scoping these PAs in this manner suggests that the projects do not, and will never, perform any of the practices of CAR or DAR. This is unlikely as many of the lower-level practices of these PAs can be applied early in project lifecycles. Per the definition of "SI", this would mean that these projects could not be included in an OU seeking Maturity Level 3 or above. For more information regarding these PAs, please refer to our [February 2020 Quality Tip - Appraising the Supporting Implementation Capability Area](#).

Specific PA Considerations for Support Functions

A commonly encountered issue that Quality Management has seen is Managing Measurement and Performance (MPM) not being identified as "SE" at the organizational (support function) level for Maturity Level 3, 4, and 5 appraisals. At practice level 3 of MPM, measurements are defined and managed at the organizational level. Accordingly, it is expected that MPM would be designated as "SE" at the support function level.

Another routinely flagged issue is project PAs being designated as "SI" for the projects when they are designated as "SE" for a support function. This is most commonly seen with MPM, Configuration Management (CM), Process Quality Assurance (PQA), and VV. While these PAs are commonly "SE" at the support function level, data is likely to exist specific to each individual project in the OU. As such, it is common for these PAs to be "SE" at the project level as well.

It is important to remember that OU scoping is an important component of the appraisal process. Quality Management reviews RGS submissions to better understand whether these designations have been applied correctly. The goal is to ensure that the project and support function/PA pairings have been scoped consistently and correctly in accordance with current versions of the CMMI model and Method Definition Document (MDD).

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