



Minimum Requirements for SCAMPI A Observation Appraisal

Quality Policy - 0018-R

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All candidate CMMI Institute-Certified Lead Appraisers are subject to the requirements of this policy, and CMMI Institute License Partners are responsible for maintaining awareness of each Lead Appraiser sponsored under their agreement and for the progress made in satisfying observation requirements.

As the final step in the Lead Appraiser certification process, an observation is intended to provide a uniform level of mentoring and observation for candidate SCAMPI A Lead Appraisers. The goal of this mentoring is to ensure a smooth transition to the role of team leader. The scope of a SCAMPI A appraisal could (in principle) range from a single process area examined for a single project, to a Maturity Level 5 scope (including all process areas) covering a multi-site organization with numerous projects. The observation appraisal, while excluding Maturity Levels 4 and 5, should reflect a sufficiently robust scope to allow the observer to conclude that the candidate possesses the knowledge and skills to effectively perform as a Lead Appraiser. An overly narrow scope might limit the opportunity for mentoring, and an overly ambitious scope might create challenges that overwhelm the mentoring process, a middle ground is recommended. The policies established by the CMMI Institute regarding observation appraisals are designed to facilitate a valid, useful appraisal and to provide opportunities for mentorship.

The following criteria will be evaluated by the observer assigned to each candidate SCAMPI A Lead Appraiser during the process of planning the observation appraisal. The criteria are intended as guidelines to be interpreted (with good judgment, by a trained observer) to address the needs of an individual candidate SCAMPI A Lead Appraiser, working in a particular organizational setting where the observed appraisal is to occur. Process context details—such as organization size, the size and duration of typical projects, lifecycles in use, and business practices of the appraised organization—could potentially lead to trade-offs among the criteria numbered below.

CMMI Institute may cancel a scheduled observation if any one of the items listed in this document is not accomplished.

1. **Certification Exam:** After completion of the SCAMPI Lead Appraiser Training course, candidates must successfully complete the SCAMPI LA qualification



exam. (For more information about the exam, please contact certification-info@cmmiinstitute.com.)

2. **Observation Appraisal:**
 - I. Must be a SCAMPI Class A appraisal, based on CMMI.
 - II. Must appraise no more than one CMMI constellation or process model.
 - III. Must be set up in the SCAMPI Appraisal System (SAS) a minimum of 30 days prior to the Phase II (on-site period). All data minus the ratings must be provided.
 - IV. Must include a minimum of five (5) days for the on-site period.
 - V. Must include all process areas at Maturity Level 2.
 - i. SAM may be excluded only if there is valid rationale for the exclusion.
 - ii. All goals must be rated. If a Maturity Level is not generated, a Capability Profile must be created showing the goal ratings.
 - VI. May not include process areas from ML4 or ML5
 - VII. Must submit the drafted appraisal plan to the observer 30 days prior to the on-site period.
 - VIII. Appraisal sponsor must complete and submit feedback form.
 - IX. Must be submitted to the CMMI Institute within 30 days after the appraisal delivery.
3. **Organizational Scope:**
 - I. At least 2 instantiations.
 - II. Scope large enough to require at least 12 interviewees.
4. **Appraisal Team Composition:** The observer assigned to the observation must be listed in the appraisal plan and the SAS record; however, he or she is not considered a member of the team.
5. **Interpreters:** If an interpreter is required, the candidate's organization is responsible for obtaining, and providing payment of, a CMMI Institute-approved interpreter.
6. **Appraisal Sponsor:** Should not be in the reporting chain of the candidate Lead Appraiser.
7. **Candidate Lead Appraiser:** Should not have significant conflicts of interest relating to the appraisal.
8. **Security:** If your appraisal will be delivered at a sensitive compartmented information facility, the candidate is responsible for obtaining the appropriate entry documents for the observer.
9. **Non-Disclosure Agreements (NDA):** Observers may request to see organizational documents to assess a candidate's interpretation of a process area. If the appraised organization requires an NDA, it is the candidate's responsibility to ensure that the required documents are processed a minimum of 14 days prior to the appraisal on-site.
10. **Certification Validity Period:** To complete the certification process, candidates must:



- I. Submit the appraisal for review; it must be accepted/closed by the CMMI Institute.
- II. Ensure the licensed CMMI Partner pays all observation fees.
- III. Complete any remediation activities and submit them to the observer for review.
- IV. Review the final observation report.

The certification validity period of three years will begin when items I – IV above are completed.

11. **Policies and Guidelines:** Certification as a SCAMPI Lead Appraiser requires compliance with the CMMI Institute's formal policies regarding SCAMPI appraisals. These policies can be found on the Quality Policy Pages. Lead appraisers are also expected to comply with the Code of Professional Conduct (COPC), the Partner Guide, and the Certification Agreement. These items must be understood and adhered to by Lead Appraisers throughout the life of their certifications.
12. **Certification Renewal:** Certification as a SCAMPI Lead Appraiser includes a commitment to ongoing professional development to maintain a high level of proficiency in the practice. Please review the [renewal requirements for SCAMPI Lead Appraisers](#) for reference and guidance regarding the activities required to maintain the certification.

To schedule an observation complete the observation request form available at <http://partners.clearmodel.com/forms/> or contact certification-info@cmmiinstitute.com.

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