

APPRAISAL SPONSOR FACT SHEET

For the purposes of this document “lead appraiser” means an individual who has successfully met the requirements for obtaining and maintaining Certification as an SEI-Certified SCAMPI Lead Appraiser. Please note that though this document was written primarily for SCAMPI A appraisals, most of it also applies to SCAMPI B and C appraisals. “Partner” means an organization that has licensed with the SEI to deliver authorized appraisal services.

The SEI is proud to enable organizations in the U.S and around the world to improve their performance through our appraisal program and the services of SEI-licensed partners. Organizations seeking to obtain authorized SEI Appraisal Services need to contract with a partner. This document helps appraisal sponsors become educated consumers of SCAMPI appraisal services and provides insight into their role and responsibilities as well as that of the appraiser in the overall appraisal process.

Appraisal Sponsor Responsibilities

For organizations that sponsor an appraisal (or are considering doing so), it is helpful to understand the responsibilities. First, it is important to note that a sponsoring organization needs to identify a senior member of management as the sponsor of their appraisal. Other appraisal sponsor responsibilities include:

- Verify that the lead appraiser they employ is currently certified by the SEI; certifications can be verified on the SEI’s On-line Partner Directory (OLPD) at the following link: <http://www.sei.cmu.edu/partners/directory/individual/index.cfm>
- Ensure that the organizational units or subunits selected for the appraisal participate in the appraisal
- Support the requirement for non-attribution to appraisal participants
- Provide the business objectives for the organization
- Ensure necessary resources and funding are made available to conduct the appraisal
- Review and approve the appraisal input prior to the beginning of data collection by the appraisal team
- Serve as the organizational contact for the SEI to notify for updates about appraisal activities
- Sign the appraisal input document, appraisal plan and appraisal disclosure statements
- Attend opening briefing and final finding presentations
- Complete appraisal feedback forms
- Approve any distribution or communication of appraisal outcomes and maintain appraisal results

Length of Appraisals

It is not possible to predict how long an appraisal should last. Each organization is unique and requires an appraiser to acquire in-depth knowledge about business objectives, personnel, operation, process baselines, CMMI Model implementation and prior appraisals. Appraisers with this knowledge are the best resource to estimate the length of an appraisal.

Authorized SCAMPI Appraisal Services

Only appraisers under the sponsorship of a partner are eligible to deliver authentic SEI appraisal services. Organizations seeking authorized SEI appraisal services must use the services of individuals that appear on the SEI Online Partner Directory.

Written Agreements for Appraisal Services

License agreements between the SEI and their partners that deliver appraisal services require the Licensed Partner to enter into a written agreement with an organization undergoing an appraisal. The agreement must be between the partner organization and the organization to be appraised. Appraisers must be under the sponsorship of a partner to be eligible to deliver appraisal services.

Appraisal results submitted to the SEI that have not been delivered under a written contract between a partner and the appraised organization will not be accepted.

Reporting Appraisal Results

SEI License agreements require that appraisers report appraisal results to the SEI within 30 days of the end of the appraisal delivery. Appraisal delivery is defined as the period of time the appraisal is being conducted at the organization's site; this is referred to as the conduct appraisal phase.

Closing an Appraisal

When appraisal results are reported to the SEI, the SEI conducts a compliance review on the appraisal to bring it to closure. (By closure, we mean that the appraisal has either been accepted or rejected by the SEI.) If the compliance review cannot be completed within 30 days the appraiser and the sponsor will be sent a notice that the review is not complete.

Appraisal Compliance

Appraisals delivered by SEI Certified appraisers must be in compliance with the CMMI Model, SCAMPI Method, SEI Partner Agreements, Certification Agreements, and Appraisal Program Policies and Procedures. The SEI Appraisal Program conducts numerous compliance checks on each appraisal. If deficiencies are discovered, the appraisal will be rejected. An appraisal rejection is also referred to as an "adverse decision."

Appraisal sponsors are advised that appraisal outcomes should not be advertised, used in response to a request for proposal (RFP), or published in a news release until it has been accepted by the SEI Appraisal Program.

More information regarding the SEI Appraisal Program's policy on adverse decisions can be found on the SEI Appraisal Program's Communications page:

<http://www.sei.cmu.edu/cmmi/tools/appraisals/communications.cfm>

SEI Acceptance of Appraisal Results

SEI's acceptance of appraisal results as submitted by an appraiser is not an SEI confirmation that the appraised organization is operating at the capability or maturity level that is awarded by the appraiser. Acceptance is an indication that the appraisal data submitted is in compliance with the quality checks that are conducted on the appraisal.

SEI Rejection of Appraisal Results

Rejection of an appraisal is also referred to as an "adverse decision." Adverse decisions may result from quality checks, audits or investigations conducted as a result of Ethics and Compliance Complaints. If the SEI rejects an appraisal, an appraiser or appraisal sponsor may file an appeal in accordance with the SEI's published appeal process "Defining the SEI Appraisal Program Appeal Process for Adverse Decisions" available at this link: <http://www.sei.cmu.edu/cmml/tools/appraisals/communications.cfm>

Appraisal Compliance Reviews

When an appraiser submits an appraisal for review, the SEI has 30 days to process it through the Appraisal Program's standard quality review. An appraisal is not considered to be submitted until all the required artifacts are submitted. Processing can take longer if the appraisal has been identified for audit or the correction of identified inconsistencies is delayed. If the review will take longer than 30 days, an e-mail sent to notify the sponsor of the delay. When the SEI approves an appraisal for acceptance, an email message is sent to the appraisal sponsor.

If an appraiser has submitted all required paperwork, including the appropriate signatures, the appraisal will be posted as soon as it is accepted. If an audit is being conducting during the delivery of an appraisal, it will not be closed or posted to the SEI's Published Appraisal Results Site (PARS) until the audit has concluded.

Posting Appraisal Results

To protect the privacy of appraised organizations, the SEI will only post the appraisal results of organizations that

- request their results to be posted
- provide all required signatures to release the information to be posted

Not all appraisal results are posted to the PARS website. Posting appraisal results to the PARS website is voluntary and at the discretion of the SEI.

Posted appraisal results can be found on the SEI's Published Appraisal Results Site (PARS):

<http://sas.sei.cmu.edu/pars/pars.aspx>

Appraisal results expire after a period of three years. After that, they will automatically be removed from PARS. The PARS website is not intended to be used as a marketing tool or as the SEI's endorsement of an appraised organization.

Providing Appraisal Information to the Public

The SEI will not release any appraisal information. The only information available to the public is the information posted to the Public Appraisal Results Website (PARS).

SEI Appraisal Certificates

The SEI does not "certify" organizations. Partners are not authorized to certify the organizations they appraise. Some partner organizations choose to provide certificates to the organizations they appraise for two purposes; as an acknowledgment of an appraisal delivery and to announce the maturity level they've awarded the appraised organization. Certificates provided by the partner organization should not be viewed as being endorsed by the SEI. Appraised organizations should not announce or advertise that they have been "certified" at any level. If advertisements of this kind are brought to the attention of the SEI, the organization posting the advertisement will be contacted by an SEI contracts specialist who will request that they amend their advertisement. Violations can be reported by sending email to the following address: <http://www.sei.cmu.edu/partners/resources/ethics/>

Auditing Appraisals

The SEI will identify some appraisals for audit to assess the knowledge and capabilities of the appraiser. The SEI may audit an appraisal for a variety of reasons, from random selection through specific ethics and compliance complaints. Audits allow the SEI to maintain confidence across the community in appraisal results. (Audits are not for the SEI to make a judgment on an organization's capabilities or for the SEI to award a maturity level.)

SEI auditors will be bound by the same standards of confidentiality as the appraisal team members. Accepting auditors into the appraisal is not optional.

The SEI can audit an appraisal at any time, even after it has already been accepted and posted to PARS. Find more information about SEI's audit policies and processes on the following web page: <http://www.sei.cmu.edu/cmmi/tools/appraisals/communications.cfm>

Appraisers are required to inform their appraisal sponsor of the audit. The appraisal sponsor will then receive various sponsor notifications. Appraisal sponsors must comply with the SEI's audit or they risk rejection of their appraisal results.

Appraisal Sponsor Notifications

When an appraisal review exceeds either a 30 or 60-day period, a reminder email message will be sent to the appraisal sponsor and also to the appraiser. This is usually an indicator that additional information is needed from the appraiser or that audit materials are still being reviewed by the SEI's auditors. Also,

when an appraisal review is completed, an email message is sent to the appraisal sponsor, the Appraiser's Business Point of Contact, and the appraiser announcing the closure.

Business Point of Contact (BPOC) Notifications

Since SEI Licensed Partners are required to have a written agreement between them and the organization undergoing the appraisal, Business Points of Contact (BPOCs) are responsible for the business relationship between the SEI Partner and the organization undergoing the appraisal. Therefore, BPOCs receive notifications when:

- Appraisals are set up in SAS under their Partner Agreement
- Appraisals are identified for audit
- Appraisals are deleted from SAS
- Appraisals are closed

Sponsor and Appraisal Team Member Registration in SAS

Sponsors and ATMs are required to be registered in the SEI Appraisal System (SAS) database. ATM registration requires that their attendance in the introductory course to the CMMI Model or other constellation being appraised has been recorded. Once an instructor submits an attendee list and accompanying FERPA forms to the SEI, it may take 5-7 business days to process them through the approval process and record them into the SAS database. Register in SAS on the following web page:

<http://sas.sei.cmu.edu/Appsys/default.aspx>

Family Educational Rights and Privacy Act of 1974 (FERPA)

FERPA applies to all institutions that are the recipients of federal funding from the U.S. Department of Education, which includes Carnegie Mellon University (CMU). FERPA regulations protect the privacy of students. Course attendee records are considered confidential. In order to make student attendance available to appraisers for participation on an appraisal team, the attendees must sign a release form called a FERPA form. The form must be on file at the SEI. Both information about FERPA regulations and the form is available at the following link: <http://www.sei.cmu.edu/partners/resources/policies/>

Code of Professional Conduct for SEI Services (CoPC)

All SEI-authorized and SEI-certified professionals, candidates for SEI authorizations or certifications, and SEI Partners are required to sign the Code of Professional Conduct and agree to uphold the standards outlined by acting with honesty, integrity, fairness and without actual or apparent conflicts of interest. A copy of the Code and instructions to report violations can be found on the following web page:

<http://www.sei.cmu.edu/partners/resources/ethics/>

Transferring Appraisal Results

If an organization has been appraised and is later acquired by another organization, the appraisal results do not automatically transfer to the new organization. Please contact customer relations if you have questions regarding appraisal results when an organization has restructured.

Appraisal Program Contacts and Additional Resources

General information can be sent to or requested from our customer relations representatives at the following email address: customer-relations@sei.cmu.edu. If our customer relations representatives are unable to help you, they will redirect your inquiry.

Appraisal Program Tools and Methods:

<http://www.sei.cmu.edu/cmmi/tools/index.cfm>

CMMI technical reports notes and case studies:

<http://www.sei.cmu.edu/cmmi/casestudies/reports/>

Find the SCAMPI Method Definition Document (MDD) and other materials:

<http://www.sei.cmu.edu/cmmi/tools/appraisals/materials.cfm>

Learn more about the SEI Appraisal System (SAS):

<http://www.sei.cmu.edu/cmmi/tools/appraisals/sas.cfm>

Learn about appraisal results reported semi-annually (in aggregate):

<http://www.sei.cmu.edu/cmmi/casestudies/profiles/index.cfm>

View Published Appraisal Results (PARS):

<http://sas.sei.cmu.edu/pars/pars.aspx>