



## SEI Appraisal Program Communication

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**Communication ID:** SCAMPI-N-0019

**Title:** Required Use of SEI Appraisal System (SAS)

**References:** None

**Implementation Date:** August 31, 2007

**Source:** Jack Ferguson, SEI Appraisal Program Manager

**Action Identified:** FYI

**Distribution:** (1) SEI Lead Appraisers<sup>SM</sup>  
(2) SEI SCAMPI B&C Team Leaders  
(3) SEI Partners for SCAMPI Appraisal Services

**Note:** None

# SEI Appraisal Program Communication

## SCAMPI-N-0019 Required use of the SEI Appraisal System (SAS)

### Notification

*The policy requiring advanced submission of appraisal planning data is being revised and formalized with this notification. All SEI Certified and SEI Authorized SCAMPI Lead Appraisers and SCAMPI B&C Team Leaders are required to establish a new record in the SEI Appraisal System (SAS) prior to the start of the “conduct appraisal phase” of each new appraisal. Guidelines for data submission lead-time, minimum data to be documented, and procedures for a notification of exceptions are detailed below.*

### Applicability

This notification applies to all SEI Certified and SEI Authorized SCAMPI Lead Appraisers, SCAMPI B&C Team Leaders, and SEI SCAMPI Partner Organizations.

### Background

The SEI Appraisal System (SAS) provides the facility for SEI Certified and SEI-Authorized SCAMPI Lead Appraisers and SCAMPI B&C Team Leaders 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.

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## Implementation Detail

The following required practices will be in effect as of the implementation date listed above. Future releases of SAS will incorporate increased functionality to support these standards by automating some aspects of the compliance checking currently done manually by the SEI audit team.

1. Lead Appraisers and Team Leaders are required to establish a new record in the SEI Appraisal System (SAS) at least 30 calendar days before the start date of the “conduct appraisal” phase of the appraisal.
  - a. 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 Lead’s account on the SAS system at [sas.sei.cmu.edu](http://sas.sei.cmu.edu) – the following SAS record fields are required (at a minimum) to create a new entry:
    - i. A name for the appraisal
    - ii. The appraisal method, version and class (e.g., v1.2, class A)
    - iii. The start date for the “conduct appraisal” phase
    - iv. The name of the Organization and the Organizational Unit being appraised
  - b. The start of the conduct appraisal phase is often referred to as the start of the “onsite period.”
  - c. A description of each field can be found in the SAS Users Guide which is available for download from the SAS home page.
2. 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:
  - i. Model & Method
  - ii. Model Scope
  - iii. Purpose & Usage
  - iv. Instantiations
  - v. OU Profile
  - vi. FAR Groups
  - vii. Outputs
  - viii. Risks
  - ix. Constraints

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3. 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.
4. Revision of the Appraisal Input and Appraisal Plan contents is governed by the requirements specified in the Method Definition Document. 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 sponsor are to be tracked using a change log in the document.
5. In recognition of the fact that business cycles are sometimes quite short, the following process is available for notifying the SEI of appraisals that will require exceptions to the 30 day lead-time to create a record in SAS:
  - a. Send an email to [sasset-up@sei.cmu.edu](mailto:sasset-up@sei.cmu.edu) containing the following information:
    - i. The Name of the Organization and Organizational Unit to be appraised
    - ii. The planned start date for the “Conduct Appraisal” phase
    - iii. Brief explanation as to why the 30 day lead-time cannot be met
  - b. When an acknowledgment of exception is received from the SEI, establish a new record in SAS for the appraisal and enter the acknowledgment code (provided by the SEI) in the field for Appraisal Constraints
  - c. Include the acknowledgment form received from the SEI with the documents submitted following the conclusion of the appraisal.

### Impact

This policy will support the appraisal team lead and the SEI appraisal audit team in monitoring planning activities in advance of the appraisal. In cases where planning activities indicate risks the team lead can work with the SEI to take corrective actions prior to the start of an appraisal.