SEI^{SM} *Appraisal Program Communication*

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Note	None

SCAMPI-N-0013: Updated SCAMPI^{SM} A Practice Characterization and Aggregation Rules

Notification

The following changes should be annotated in the SCAMPI A Method Definition Document V1.1 and applied immediately during the conduct of SCAMPI A appraisals.

Replace the table describing the rules for characterization instantiation-level implementations of practices in Activity 2.2.2 on page II-90 from:

OLD VERSION

Label	Meaning
Fully Implemented (FI)	• *The direct artifact is present and judged to be appropriate.* • *At least one indirect artifact and/or affirmation exists to confirm the implementation.* • *No substantial weaknesses were noted.*
Largely Implemented (LI)	• *The direct artifact is present and judged to be appropriate.* • *At least one indirect artifact and/or affirmation exists to confirm the implementation.* • *One or more weaknesses were noted.*
Partially Implemented (PI)	• *The direct artifact is absent or judged to be inadequate.* • *Artifacts or affirmations suggest that some aspects of the practice are implemented.* • *Weaknesses have been documented.*
Not Implemented (NI)	• *Any situation not covered above*

to:

NEW VERSION

Label	Meaning
Fully Implemented (FI)	• *One or more direct artifacts are present and judged to be adequate and* • *at least one indirect artifact and/or affirmation exists to confirm the implementation and* • *no weaknesses are noted.*
Largely Implemented (LI)	• *One or more direct artifacts are present and judged to be adequate and* • *at least one indirect artifact and/or affirmation exists to confirm the implementation and* • *one or more weaknesses are noted.*

Partially Implemented (PI)	• *Direct artifacts are absent or are judged to be inadequate and* • *one or more indirect artifacts or affirmations suggest that some aspects of the practice are implemented and* • *one or more weaknesses are noted* *OR* • *one or more direct artifacts are present and judged to be adequate and* • *no other evidence (indirect artifacts, affirmations) supports the direct artifact(s) and* • *one or more weaknesses are noted.*
Not Implemented (NI)	• *Direct artifacts are absent or judged to be inadequate and* • *no other evidence (indirect artifacts, affirmations) supports the practice and* • *one or more weaknesses are noted.*
Not Yet (NY)	• *The project has not yet reached the stage in the lifecycle to have implemented the practice.*

Replace the table describing aggregating instantiation-level characterizations to derive OU-level characterizations in Activity 2.2.2 on page II-91 from:

OLD VERSION

Condition	Outcome	Remarks
All X (e.g., all LI)	*X*	*All instantiations have the same characterization.*
All (LI or FI)	*LI*	*All instantiations are characterized LI or higher.*
Any PI, No NI	*LI or PI*	*Team judgment is applied to choose LI or PI for the organizational unit.*
Any NI	*NI, PI, or LI*	*Team judgment is applied to choose NI, PI, or LI for the organizational unit.*

to:

NEW VERSION

Instantiations	OU Outcome	Remarks
All FI	*FI*	*All instantiations are characterized FI.*
All LI or FI, with at least one LI	*LI*	*All instantiations are characterized LI or FI, with at least one LI.*
At least one LI or FI and at least one PI or NI	*LI or PI*	*There is at least one instantiation that is characterized as LI or FI and at least one instantiation that is characterized as PI or NI. Team judgment is applied to choose LI or PI based on whether the weaknesses, in aggregate, have a significant negative impact on goal achievement.*
All PI or NI, with at least one PI	*PI*	*All instantiations are characterized PI or NI, with at least one PI.*
All NI	*NI*	*All instantiations are characterized NI.*

All NY	NY	All instantiations are characterized NY. There are no instantiations within the OU that have yet reached the stage in the lifecycle to have implemented the practice. (NOTE: If literally ALL instantiations in an OU have not reached the stage in the lifecycle to have implemented the practice, but will in the future, no rating can be given for the associated goal and process area.)

Add the following item to the Parameters and Limits in Activity 2.4.1 on page II-114:

- *A goal must be rated Not Rated if there are any associated practices that are not characterized at the organizational unit level or that are characterized as Not Yet at the organizational unit level.*

Applicability

This change is applicable to all enactments of the SCAMPI A V1.1 appraisal method.

Background

The distinction of a substantial and an unsubstantial weakness can be confusing. In order for a weakness to be considered substantial, there needs to be some impact on the goal. If there is no impact on the goal, there is no need to note a weakness. From now on, there will be no such thing as an unsubstantial weakness in SCAMPI A V1.1. The appraisal team can always provide comments or notes if they want to provide suggestions without classifying the item as a weakness. For practices that are determined to be sufficiently covered, the team should characterize the instantiation as FI if there are no weaknesses noted.

The rule for characterizing an instantiation as Not Implemented (NI) for "any situation not covered above" was problematic because the NI characterization did not have explicit criteria.

Situations where the implementation of a given practice cannot be demonstrated because the project has not reached the appropriate stage of the lifecycle will now be handled using the characterization value "Not Yet (NY)." The previous rule was to omit such situations from consideration when aggregating characterizations to the OU level. This new rule ensures that each condition is explicitly labeled before the aggregation process is carried out.

The previous described aggregation rules were confusing regarding what the precise conditions were for aggregating to different characterization values and did not include criteria for the team to use for judgments in borderline situations. The new rules now clearly define the different conditions for the instantiation-level characterization values and have explicit criteria for the team to use for judgments in borderline situations.

The new parameter and limit in Activity 2.4.1 was added to cover the case of what to do when rating goals if a practice is characterized as NY at the OU level or if there are

associated practices that are not characterized at the OU level. In these cases the goal must be rated Not Rated.

Impact

1. SCAMPI Lead Appraisers should ensure that this new characterization rules are adequately covered during appraisal team training.

2. SCAMPI Lead Appraisers should take appropriate steps to ensure that appraisal teams apply the amended rules during the course of relevant appraisal activities – especially activity 2.2.2 (Characterize Implementation of Model Practices).

3. There is no expectation that Lead Appraisers will revisit appraisals conducted in the past to apply these new criteria.

4. These new rules are to take effect on the publication date specified above.