

# Clarification of Terms

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## **Conduct Appraisal Phase, On-site, Phase II (2), 90-day clock and 60-day limits**

The quality program has received numerous requests to clarify the terms: Conduct Appraisal Phase, On-site Phase, Phase II (2), 90-day clock, and 60-day limits. We hope the following guidance will help.

### **Conduct Appraisal Phase**

Conduct Appraisal Phase, On-site Phase, and Phase II (2) all have the same meaning in the appraisal timeline, so for this document, we will use “Conduct Appraisal Phase.” During the Conduct Appraisal Phase, the appraisal team reviews artifacts, conducts interviews, and holds discussions for the purpose of characterizing the implementation of model practices in order to generate the ratings in scope for the appraisal.” In the SCAMPI Method Definition Document (MDD) these activities are detailed in section “2 Conduct Appraisal.”

### **The 90-Day Clock**

All classes of SCAMPI appraisals must complete and be reported to the appraised organization within 90 days of the beginning of the Conduct Appraisal Phase. This is referred to as the “90-day clock.” The 90-day clock for the completion of the SCAMPI starts when the appraisal team begins to review evidence with the intent to derive characterization of practice implementation. For most appraisals, this starts on the first day that the entire team is assembled to conduct document reviews and interviews, and may begin with an opening briefing.

However, there are some circumstances under which there can be overlap between the planning phase and the Conduct Appraisal Phase, which results in the 90-day clock starting prior to the official kickoff of the appraisal.

The appraisal readiness review is an appraisal planning activity where the LA and members of the team evaluate the organization’s preparedness for the Conduct Appraisal Phase activities. The primary purpose of this review is to ensure that the organization’s objective evidence is available and adequately covers the model scope. It also evaluates whether or not the logistics for the appraisal have been arranged and are adequate, and whether or not the team is prepared to perform their functions. From the readiness review, a “go/no go” decision is made regarding whether or not to proceed with the appraisal. The readiness review is not intended to replace the performance of document review for characterizing practice implementation.

If a readiness review is conducted that includes evaluation of the implementation of model practices to shorten the effort of practice characterization (i.e., the only thing left to do before characterizing the practice is to get affirmation, or review notes to make the final determination), the readiness review has started the Conduct Appraisal Phase and the “90-day clock.”

## Identifying the line for transitioning to Conduct Appraisal Phase

Small nuances can help us to understand when the transition to Conduct Appraisal Phase has been made. The intent and intensity of your review are the best indicators.

1. If you are inventorying evidence *without judgment to determine if it is sufficient to show implementation of a practice* – this is not Conduct Appraisal Phase. Inventorying without judgments falls within the activities of “1 Plan and Prepare for Appraisal” also known as “Phase I” or “Planning.”
2. If you are inventorying evidence to judge if the evidence substantiates a practice that is being implemented – this is Conduct Appraisal Phase. This activity is related to evaluating the relevance, suitability, or sufficiency of evidence.
3. Once a judgment is made, during any part of delivering an appraisal, Conduct Appraisal Phase has started.

It is important to note that once Conduct Appraisal Phase has begun, you are not permitted to introduce any documents that are created from that point forward. The SCAMPI MDD Section 2.2.1 Parameters and Limits include “Artifacts used as objective evidence must have been created or revised prior to the start of the conduct appraisal phase. The team may request to view artifacts that result from recurring activities, even if the activity occurred after the start of the appraisal. In no case would an artifact created after the start of an appraisal be accepted as the only artifact in demonstrating the implementation of a practice.”

## So what is 60-day limit for SCAMPI A Appraisals?

The 60-day limit is the period of time associated with policy *0023-R Limits on SCAMPI Class A Appraisal Deliveries*; published at <http://cmmiinstitute.com/cmми-solutions/cmми-appraisals/appraiser-communications/>. The maximum number of Class A appraisals a LA is permitted to deliver in a 60-day time period is 4 (effective January 1, 2014 this restriction will be increased from 3 to 4). This is based on a rolling 60-day period; so how is that calculated?

The rolling 60 days means that a new 60-day count starts over again on the last day of your previous appraisal. Look at the attached PDF, which displays three 60-day periods. You will note that some part of the Conduct Appraisal Phase for five appraisals is within the first 60-day period (highlighted in yellow). The last appraisal, 20200 XYZ is in violation of the policy. To correct this, the appraisal can be moved to start on March 11, 2014; where the green cells are highlighted. [60-Day Clock.pdf](#)

In summary, each 60-day period may only have a portion of four appraisals delivered in that timeframe. If you have questions, please direct them to [scampi-quality@cmмиinstitute.com](mailto:scampi-quality@cmмиinstitute.com).