# Checklist for MDD Appendix A: Virtual Appraisal Conditions, Criteria, and Requirements

This checklist is used to assess the requirements detailed in MDD Appendix A: Virtual Appraisal Conditions, Criteria, and Requirements—to determine if a 100% virtual appraisal is allowed and to create a record of compliance. The Appraisal Team Leader (ATL) must complete this checklist during appraisal planning and submit the completed checklist as a required appraisal output by uploading the final and completed checklist to CMMI Appraisal System (CAS) as an additional artifact.

### Table Headings and Instructions

* **ID & Condition**: These columns correspond to the tables in MDD Appendix A: Virtual Appraisal Conditions, Criteria, and Requirements
* **Allowed:** Is 100% virtual delivery allowed, given the identified condition?
* **Applicable:** Is this applicable to this appraisal? Select **Yes** or **No** from the drop down.
* **Addressed:** Select one of the following options from the drop down:
* **Not Addressed**: The condition is not addressed in the Appraisal Plan/CAS or elsewhere
* **Addressed in Appraisal Plan/CAS**: The ATL has discussed and verified with the Organizational Unit (OU) and Appraisal Sponsor that this condition applies, and therefore details about how the condition is addressed is included in the Appraisal Plan/CAS
* **Addressed Elsewhere**: Details about how the condition is addressed is captured some place other than the Appraisal/CAS. In this case, the location and any other relevant information is captured within the Additional Comments section of this checklist

Appraisal ID: 654321\_\_\_\_\_ ATL:Pieter van Zyl ­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Checklist for 100% Virtual Appraisal Delivery

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| ID | Condition | Allowed | Applicable | Addressed |
| 1 | An Organizational Unit (OU)’s first ever CMMI Benchmark Appraisal | Conditionally | No | Condition Not Addressed. Choose an item |
| 2 | ATL is brand new to the OU; has never been onsite or has never met the Appraisal Sponsor or met the ATMs in-person, and the ATL has not performed any other work for the OU in the past | Conditionally | No | Condition Not Addressed. Choose an item |
| 3 | It is the ATL’s very first appraisal | Conditionally | No | Condition Not Addressed. Choose an item |
| 4 | Limited OU processes in place, limited organized evidence or appraisal tracking tool in place | Conditionally | No | Condition Not Addressed. Choose an item |
| 5 | The appraisal is conducted using multiple languages on the appraisal, and Registered Interpreter is required | Conditionally | Yes | Addressed in Appraisal Plan/CAS |
| 6 | First appraisal for the majority of ATMs on an appraisal | Conditionally | No | Condition Not Addressed. Choose an item |
| 7 | ATL or sponsoring Partner is currently under investigation for quality concerns or has previously received corrective actions for quality concerns. All certifications must be in good standing. | No | No | Condition Not Addressed. Choose an item |
| 8 | Any overdue or past due payments or similar ISACA account issues between the ATL, the sponsoring Partner, or the OU | No | No | Condition Not Addressed. Choose an item |
| 9 | If any Classified Information, Federal Contract Information (FCI) or Controlled Unclassified Information (CUI) is present on any in-scope contract, project or functional support group or there are any contractual or other OU security or safety constraints or regulatory requirements for site, facility or data access | No | No | Condition Not Addressed. Choose an item |
| 10 | Any Practice Areas (PAs) in scope from the Managing Security and Safety Capability Area, or verified presence of any security or safety regulations, restrictions or constraints for the in-scope and functional support groups | No | No | Condition Not Addressed. Choose an item |
| 11 | Reciprocity is required for other standards in scope, e.g., ISO, CMMC | No | No | Condition Not Addressed. Choose an item |
| R1 | Video camera use during each virtual appraisal interview/affirmation sessions, including interviews, demonstrations, and follow-up Interviews. This may include, but is not limited to the Opening, Prelim­inary or Draft Findings and Final Findings events. | Required | Yes | Addressed in Appraisal Plan/CAS |
| R2 | Establish and communicate a code of conduct for all virtual appraisal activities, including appraisal team interaction, and interaction/interviews and demonstration with OU personnel | Required | Yes | Addressed in Appraisal Plan/CAS |
| R3 | Review and apply best practices and lessons learned from Enabling Virtual Solution Delivery (EVSD) PA and CMMI Virtual Delivery toolkit | Required | Yes | Addressed in Appraisal Plan/CAS |
| R4 | Appraisal Team Co-Location | Required | No | Addressed in Appraisal Plan/CAS |
| Additional Comments: | | | | |