# Checklist for Virtual Appraisals

# *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 in 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: \_\_\_1234\_\_\_\_\_\_\_\_\_\_\_\_\_­­­­­­­­­­ 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 registered CMMI appraisal | Conditionally | No | 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 | Choose an item |
| 3 | The ATL is leading their first Benchmark Appraisal | Conditionally | No | Choose an item |
| 4 | Limited OU processes in place, limited organized evidence or appraisal tracking tool in place | Conditionally | No | Choose an item |
| 5 | The appraisal is conducted using multiple languages | Conditionally | Yes | Addressed in Appraisal Plan/CAS |
| 6 | First appraisal of any type, for more than 50% of ATMs | Conditionally | No | Choose an item |
| 7 | Any overdue payments or similar ISACA account issues between the ATL, the sponsoring Partner, or the OU that are not currently in the process of being resolved. | No | No | Choose an item |
| 8 | ATMs do not have adequate remote or virtual access to required documents due to national or company security restrictions, e.g., classified information, Federal Contract Information (FCI), Controlled Unclassified Information (CUI). | No | No | Choose an item |
| 9 | 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 | Choose an item |
| 10 | Reciprocity is required for other standards in scope, e.g., ISO, CMMC, and the other standards that prohibit virtual evaluations | No | No | 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 Briefing, 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 | Optimally, the appraisal team should be co-located either at the OU site or somewhere nearby. Refer to Appendix A, Table 34: Additional Required Activities for 100% Virtual Appraisals for more information. | Required | No | Addressed in Appraisal Plan/CAS |
| Additional Comments: | | | | |