Excluded Projects
Clarification of Term

Guidance on how to identify excluded projects/units in SAS

Recent appraisal reviews conducted by the SCAMPI Quality Team have brought to light a misunderstanding by some lead appraisers and team leaders regarding use of the "Excluded Projects/Units" field in SAS. There are two figures below representing the Software Development Government Contracts organizational unit of a fictitious company. These two figures are intended to 1) provide a visual of the projects/units within the organizational unit and 2) provide a visual of included and excluded projects and 3) identify how to report excluded projects in SAS.

Figure 1 is a visual of the projects/units with the organizational unit that is being appraised.

13 Total Development Projects; 11 Military Development Projects

Development Projects Military Healthcare Facilities (5 Projects/Units)

Only 2 Army Projects/Units are in OU (3 Navy are excluded)

Development Projects Military Deployment Tracking Systems (6 Projects/Units)

Only 4 Army Projects/Units are in OU (2 Navy are excluded)

Development Projects Railroad Systems (2 Projects/Units)

Railroad Systems Development is not in OU for the appraisal (2 Railroad are excluded)

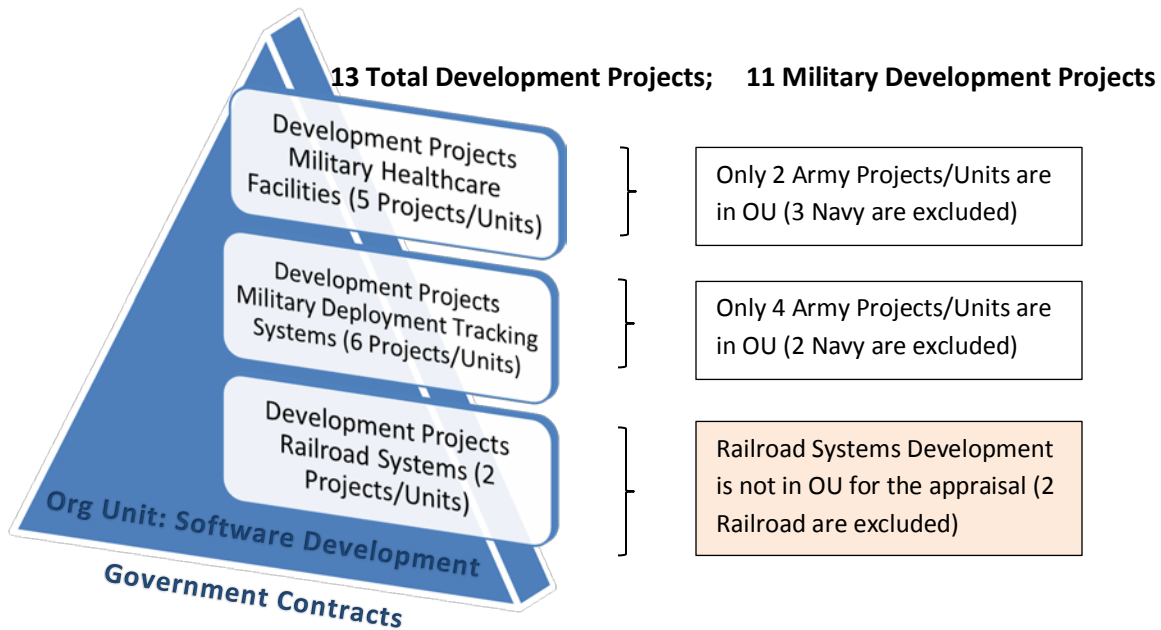Org Unit: Software Development Government Contracts

Figure 1

Figure 2 breaks down how the sampling formula is used to identify the number of projects to be appraised and how the excluded projects are identified.

Military Healthcare	Army 1	Army 2		13 Development Projects
	Navy 1	Navy 2	Navy 3	2 Railroad Projects are excluded
Military Deployment	Army 1	Army 2	Army 3	Army 4	5 Navy Projects are excluded
	Navy 1	Navy 2		6 Army Projects are in the OU
Railroad Systems	RR 1	RR 2		2 Army Projects are in the Org Scope

Sampling Formulas

$$\frac{\text{Number of subgroups} \quad X \quad \text{Number of basic units in the given subgroup}}{\text{Total number of basic units}} = 1$$

Number of subgroups: 2 Military   X   Number of basic units in the given subgroup: 2 Army - Health Care
Total number of basic units: 6 Army Projects   = 1

Number of subgroups: 2 Military   X   Number of basic units in the given subgroup: 4 Army - Deployment
Total number of basic units: 6 Army Projects   = 1

- Six projects are considered in the organizational unit
- One project from each subgroup must be sampled
- Based on the example above, seven projects have been excluded from the organizational unit. This should be identified in the excluded projects field.
- Sample size =   =   33%   Two out of six Army Projects are sampled

Figure 2

Projects/units that are specifically excluded from participating in the appraisal (though they are included in the definition of the business unit) must be identified in the appraisal plan and in the appraisal disclosure statement. Such exclusions might arise from logistical constraints identified during planning. Projects/units that are not part of the business unit do not need to be listed in this manner as the results do not apply to them. For instance, there may be a Software Development Academic Contracts business unit with a number of projects/units that do not need to be included in the excluded projects population.

Under the "Organizational Unit" tab in SAS reporting excluded projects would look something like this:

Org Unit Description

Military Healthcare and Military Deployment development projects/units for the Army are in the organizational unit for the appraisal. These are being appraised to renew development contracts.

Organizational Scope:

Military Health Care Army 1 and Military Deployment Army 4 were selected for sampling.

Excluded Projects/Units:

Railroad Systems and Navy projects are excluded.

Questions regarding this guidance can be sent to scampi-quality@cmmiinstitute.com.