

Evaluation protocols and reports: format

Protocols

AgiLevel defines which factors are to be considered in a company's agility and cultural-change processes: which values, principles and supports are to be analyzed, together with the criteria for establishing the level of agility of each.

It therefore sets out guidelines without prescribing a particular script or set of activities. And that is what a protocol is: the how — the script, the activities and the artifacts for analyzing or assessing an organization's agility, implemented in a way that suits its circumstances.

The copyright on the use of AgiLevel as a reference framework has been released. Others may therefore develop their own protocols, acknowledging that they are based on AgiLevel. Whether or not you intend to have a protocol approved, the guidelines are the ones set out in this appendix.

The OK protocol, developed by Scrum Manager, is available for free use on the downloads page at agilevel.com. It can be used in official assessments and also freely in independent ones.

Protocol approval

These independent protocols can be approved.

Approval guarantees that the protocol has been reviewed by AgiLevel and is considered to conform to the assessment and improvement guidelines defined in this guide.

Components of a protocol

Component	Required
Protocol guide	Always
Questionnaires or checklists	Optional
Calculation tools	Optional
Documentation templates	Optional

The protocol guide is required, and must include:

- A specification sheet with:
 - Name of the protocol.

- Version of AgiLevel it was developed for.
 - Version of the protocol.
 - Validity.
 - Rights and/or licence.
 - Assessment category or categories it is suitable for.
 - Assessment type or types it is suitable for.
- A description of the method, explaining its workings and its calculation in enough detail.

Questionnaires are required components only where the protocol uses them in technical assessments. They must include:

- User instructions for completing them.
- Administration and calculation instructions, for the assessor.

Protocols that include technical verifications may also provide tools for performing the calculation, such as spreadsheets or software applications.

It is likewise optional, but recommended, to include documentation formats or templates for the summary or diploma sheet and for the assessment report.

Rules and restrictions for protocols

The AgiLevel model is free to use as a guide in advisory and assessment processes.

Developing specific protocols for AgiLevel assessments has also been released, though they must comply with the following rules and restrictions:

1. Validity

The protocol's validity must be stated:

- **Self-checked:** formal and functional conformity with the AgiLevel model has been checked by the organization or author that developed the protocol.
- **Approved:** formal and functional conformity has been approved by AgiLevel.

The statement of validity must include the version of AgiLevel it was checked or approved against.

To obtain permission to state "approved by AgiLevel", the protocol must be submitted to AgiLevel for evaluation.

2. Number of projects

The procedure defined by the protocol must require the number of projects included in an assessment to be at least 33% of those within its scope.

3. Number of people

The number of people included in the assessment team must be at least 20% of those in the assessed group, and must cover every area of responsibility in the organization.

4. Selection of projects and people

The projects that make up the scope and the people who form the assessment team must be selected at random, or determined by the judgement of an assessor (lead or assistant); selections made by the organization under assessment are not permitted.

Assessment reports

Using AgiLevel as a guide to assess an organization's agility is free. Its use to produce assessment documents bearing the registered AgiLevel® trademark, however, is subject to the following conditions.

The assessment documentation must include a summary or diploma and an assessment report, containing the information detailed in this appendix.

Information	Summary / diploma	Report
Rank of the assessment	X	X
Type of assessment	X	X
Assessing organization*	(X)	X
Lead assessor*	X	X
Independence level*	X	X
Protocol used	X	
Organization assessed	X	X
Assessment category	X	X
Scope*	X	
Dimension(s)	X	X
Assessment result	X	X
Partial results		X
Points of attention		X

X — Required information

(X) — Optional information

* (asterisk on the row name) — Where applicable

Table 1: elements to be included in assessment reports.

Rank of the assessment

Marked "Official", "Independent" or "Self-assessment", as the case may be.

Lead assessor	Marked
Not certified by Scrum Manager	Independent
Certified by Scrum Manager	Official
No assessor (technical assessment)	Self-assessment

Official assessments are issued by Scrum Manager.

Type of assessment

Marked "Expert" or "Technical", according to whether or not the ratings are weighted by the expert judgement of a lead assessor.

Assessing organization

Not to be stated in self-assessments.

Official assessments must be carried out by an assessing organization accredited by Scrum Manager.

In the summary or diploma:

- Trade name of the assessing organization and registered legal name (where they differ).

In the assessment report:

- Trade name of the assessing organization and registered legal name (where they differ).
- Full address: street, city, country and postcode.
- Telephone and/or email for contact regarding AgiLevel assessments.
- Contact person for matters relating to the assessment carried out.
- Full name of the assessor, in the case of official and independent assessments.

Independence level

State whether the assessment forms part of an advisory or improvement process, or whether an advisory process was carried out at the organization under assessment in the six months before the assessment.

- **Level 1.** One of the assessors (lead or assistant) also took part in earlier advisory or training activities.
- **Level 2.** Neither the lead assessor nor any assistant assessor took part in the earlier advisory process.

- **Level 3.** An assessment at independence level 2 in which, additionally, one of the following applies: no prior advisory or training activities for improving agility were carried out at the organization; or the people who took part in those activities and the assessors belong to separate, independent organizations, with no shared ownership or working relationship.

Protocol used

Where a publicly available protocol has been used, state the name and version of the protocol used for the assessment.

Otherwise, state "approved own protocol" or "unapproved own protocol", as the case may be.

Organization assessed

In the summary or diploma:

- Trade name of the organization assessed and registered legal name (where they differ).

In the assessment report:

- Trade name of the organization assessed and registered legal name (where they differ).
- Full address: street, city, country and postcode.
- Telephone and/or email for contact regarding AgiLevel assessments.
- Contact person for matters relating to the assessment carried out.

Assessment category

State the assessment category: 1, 2 or 3.

- **Category 1:** the system consists of a single team of people and may cover one project or several.
- **Category 2:** the system consists of more than one team and more than one project. All the teams and projects belong to the same organizational unit (area, department or branch).
- **Category 3:** the system includes more than one organizational unit (area, department or branch), each of which may include one or several teams and/or projects.

Assessment scope

- **Optional** in category 1 assessments.
- **In category 2 assessments:** the list of projects and teams being assessed.
- **In category 3 assessments:** the list of sections or departments being assessed, indicating in each case which projects and teams are included.

Dimension

State one of the possible assessment options:

- **Operational:** the assessment covers the operational dimension.
- **Operational and organizational:** the assessment covers both the operational and the organizational dimension.
- **Organizational:** the assessment covers the organizational dimension.

Assessment result

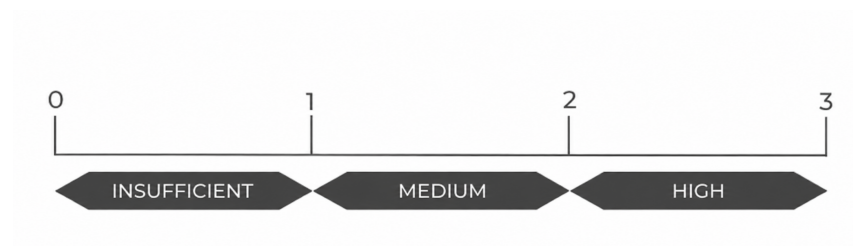


Figure 1: levels of agility.

In the summary or diploma:

- The level reached in the dimension or dimensions assessed: insufficient, pass or high, according to the rating criteria.

In the assessment report:

- The level reached in the dimension or dimensions assessed: low or insufficient, medium, or high, according to the rating criteria.
- The numerical value of the level reached in the dimension or dimensions assessed, to two decimal places.

Where both dimensions (operational and organizational) are assessed:

- The position of the value in both dimensions, plotted on a coordinate chart.

Partial results

The assessment report includes the partial results of the practices and, where applicable, the values that were analyzed. For example:

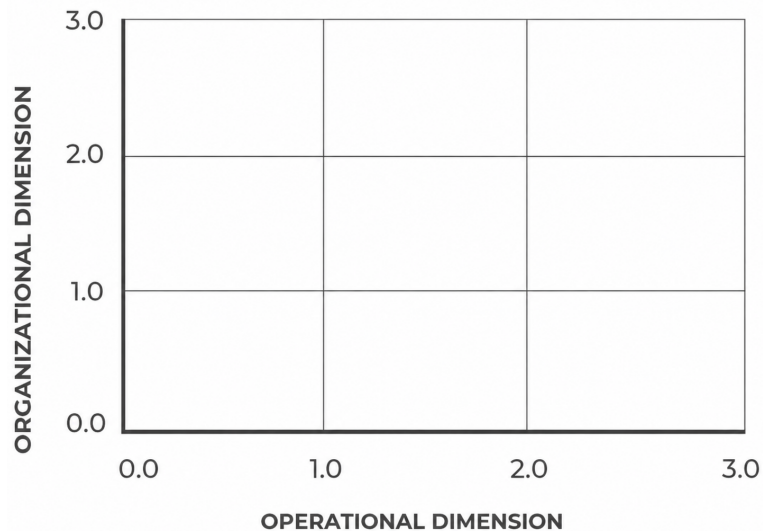


Figure 2: assessment diagram.

Points of attention

The assessment report will include a section headed "Points of attention" if at least one of the following is detected, setting out the circumstance and any weighting it called for:

- A lack of consistency (population standard deviation > 1) between the flexibility values of the practice areas.
- A lack of consistency (population standard deviation > 1) between the fluidity values of the organizational behaviors.