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CMMI® Quality - Audit Policy

Purpose

This policy outlines the rationale and requirements for participation in CMMI Institute audit activities.

Scope and Applicability

All CMMI Partners and CMMI certified individuals are subject to the requirements of this policy.

Background

CMMI Partner Business Points of Contact (BPOCs) are responsible for maintaining current knowledge of and ensuring that all certified individuals sponsored under their Partner agreement adhere to all CMMI agreements, policies, and guidelines.

Global CMMI adoption underscores the importance of model interpretation and application. This is especially true for appraising organizations that statistically manage their processes and achieve advanced performance improvement capability.

A CMMI audit is a comparison of evidence against defined criteria to determine findings. CMMI Institute collects evidence through observation of the Conduct Appraisal Phase or course delivery period, review of documentation, and/or interviews with appraisal or course participants. This evidence collection process could entail participation at the appraisal onsite or course delivery, dialing into an appraisal or course delivery, or visual observation of the onsite or course delivery through use of virtual technologies. The CMMI Appraisal Method Definition Document (MDD) details the requirements that must be followed for appraisals, including requirements specific to virtual delivery. Audit findings are generated to determine degree of conformity with CMMI agreements, policies, guidelines, models, and methods.

CMMI Institute may randomly select appraisal and course deliveries for audit. The goal of an audit is to mentor and make direct improvements to the appraisal and course deliveries of CMMI Partners. Lead Appraisers (LAs) and Appraisal Sponsors must be prepared to participate in audits before, during, or after an appraisal delivery. Instructors must be prepared to participate in audits before, during, or after a course delivery.

Audits are performed to:

- Spot check the quality of CMMI appraisal and course delivery to improve consistency and strengthen CMMI brand confidence
- Identify deficiencies and improvement opportunities in the performance of CMMI certified individuals and take corrective action if needed
- Investigate quality or ethics and compliance complaints

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- Confirm that agreements, policies, and guidelines are understood and implemented appropriately.

Policy Implementation Detail

Auditing Appraisals

CMMI Institute's intent in auditing appraisal deliveries is to provide greater support in educating all LAs and the CMMI community on CMMI Model application within organizations, MDD interpretation, and continuous improvement through the application of CMMI best practices.

All CMMI audits will be performed virtually unless otherwise agreed upon by CMMI Institute.

CMMI Institute's goal is to audit as many appraisals as possible at all maturity levels, with special emphasis on CMMI Maturity Level 4 and 5 appraisals. The focus of High Maturity audits is on Maturity Level 4 and 5 concepts including business goals, quality and process performance objectives (QPPOs), process performance baselines (PPBs), process performance models (PPMs), and statistically managed subprocesses. Some typical issues identified in audits include, but are not limited to:

- QPPOs that are not quantifiable or measurable
- Simple distribution tables being accepted as PPMs
- PPMs that are deterministic as opposed to statistical or probabilistic
- PPMs used to monitor project status to the exclusion of process performance
- Simple ratios not including controllable factors accepted as PPMs
- No linkage between processes or subprocesses and PPMs
- No linkage or use of PPBs with PPMs
- Inability to explain how a process was composed to achieve desired QPPOs
- Misinterpreting measures as subprocesses
- Use of specification limits in place of control limits
- Incorrect use of statistical tools and analyses or incorrect tools used
- Statistical management focused exclusively on outcomes

During an appraisal delivery audit, an LA can expect to:

- Participate in the audit as instructed by CMMI Quality Management
- Have their Licensed Partner BPOC copied on the audit notification
- Notify the Appraisal Sponsor that the appraisal is selected for audit
- Facilitate sharing of organizational documents associated with the delivery (as requested)
- Provide the written agreement between the Partner organization and the appraised organization
- Be contactable before, during, or after appraisal delivery, as needed
- Permit CMMI Registered Interpreters to participate in calls or virtual meetings
- Provide proof of travel (e.g., passport, airline ticket, hotel invoice), if applicable
- Reschedule an audit if the appraisal is cancelled or delayed

Audit duration will depend upon the scope of the appraisal, identification of required documents, and Auditor and LA availability. Audits may delay appraisal processing beyond the standard 30-day quality review timeframe. If an audit is opened in escalation of a quality or ethics concern, the review of other appraisals submitted by the LA and the CMMI Partner

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organization sponsoring the audited appraisal may also be put on hold until the audit has concluded.

Auditing Courses

CMMI Institute's intent in auditing courses is to provide education and support to CMMI Instructors and to maintain the quality of course deliveries.

All CMMI audits will be performed virtually unless otherwise agreed upon by CMMI Institute.

During a course delivery audit, an Instructor can expect to:

- Participate in the audit as instructed by CMMI Quality Management
- Have their Licensed Partner BPOC copied on the audit notification
- Be available by Skype, Go-To-Meeting, telecon, email, or other medium before, during, or after course delivery, as needed (Auditors may observe or listen to the delivery).
- Provide proof of travel (e.g., passport, airline ticket, hotel invoice), if applicable
- Reschedule an audit if the course is cancelled or delayed

Audit Guide

The CMMI Audit Guide is provided to each CMMI certified individual after an audit is announced. This document details audit expectations for Sponsors receiving CMMI services. This guide includes an audit process flow that identifies many of the tasks associated with an audit.

Audit Results

CMMI Institute Quality Management will share lessons learned from audit findings at webinars, workshops, and conferences; CMMI Institute will use that knowledge to make enhancements to training materials, Quality Tips, and updates to the CMMI Performance Solutions ecosystem. Organizations and CMMI certified individuals will not be identified in these findings.

Failure to comply with an audit will result in corrective action which can include rejection of the associated appraisal or course. Refer to the *Corrective Action Policy* (PQ002) for more information.

CMMI Institute reserves the right to accept or reject course deliveries and appraisal results. CMMI Institute reserves the right to take corrective action it deems appropriate, at its sole discretion, if audit results indicate CMMI agreements, models, methods, or policies have not been followed per the *Corrective Action Policy*. For information on eligibility of appeals for a corrective action assigned by Quality Management relating to an audit, please refer to the Complaints and Corrective Action Appeals Policy.

Additional References

- Questions regarding this policy should be submitted via support.isaca.org
- Published policies are available at cmmiinsitute.com on the policy page: https://cmmiinstitute.com/partners/policies

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Revision History

Version Number	Date Published	Date Effective	Changes
V2.5	11 July 2025	30 September 2019	Updated with CMMI Institute branding
V2.4	18 November 2024	30 September 2019	Updated to denote that appraisals under audited Partners may be held beyond standard quality review time for ethics or quality concerns and that audits will be virtual unless otherwise agreed upon by ISACA
V2.3	2 June 2023	30 September 2019	Updated to align to updated complaints and new appeals processes
V2.2	24 February 2023	30 September 2019	Updated to align to current CMMI branding
V2.1	11 February 2022	30 September 2019	Updated to ISACA branding; minor grammar and readability edits; Updated to include additional course audit information; removed outdated references
V2.0	30 September 2019	30 September 2019	Updated content, format & structure.
V1.0	30 September 2016	30 September 2016	Initial release.

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