



CMMI Appraisal - Appraisal Disclosure Statement Submission Policy

Purpose

This policy defines the requirements for submitting Appraisal Disclosure Statements (ADS).

Scope and Applicability

All Certified CMMI® Institute Lead Appraisers¹ are subject to the requirements of this policy, and CMMI Institute-Licensed Partners are responsible for maintaining awareness of each Lead Appraiser sponsored under their agreement and for their adherence to Appraisal Disclosure Statement (ADS) submissions.

Policy Implementation Detail

Submission of the ADS requires three authorizations:

- **First** is the Lead Appraiser's affirmation that the information contained in the statement is accurate and the appraisal was conducted in full accordance with the requirements of the appraisal method.
- **Second** is the appraisal sponsor's affirmation of appraisal scope, accuracy, acknowledgement of validity period and agreement to maintain records.
- **Third** is a section to authorize the CMMI Steward to publish the appraisal to the Published Appraisal Results (PARS) website and allow appraisal accomplishments to be posted to social media.

To support CMMI Institute-Licensed Partners in the conduct of their business, a two-step ADS submission process may be followed. Appraisal Team Leaders (ATLs) may submit their ADS documents in either of the following ways:

- Submit the ADS in two parts.
 - **Part 1** is the complete ADS including both the ATL's and the Appraisal Sponsor's signatures. This section allows quality analysts to review and close the appraisal, but the appraisal *would not* be published to PARS and appraisal marks would not be distributed.
 - **Part 2** is the authorization to publish appraisal results and social media communications. This section is submitted via email to quality@cmmiinstitute.com up to 90 days after the appraisal "accepted" date. This capability allows the licensed

¹ This includes CMMI Institute-Authorized PCMM Lead Appraisers and certification candidates.

partner to complete any outstanding business transactions associated with the appraisal delivery.

- It is the ATL's responsibility to follow up with quality analysts to publish the appraisal results. If a two-ADS-submission approach is used, appraisals will not be pulled from PARS once published unless the CMMI Institute does so for quality or ethics and compliance reasons.
- Submit the completed ADS with the initial appraisal record. Appraisal results will be published when the appraisal is accepted by quality analysts. If the licensed partner finds that outstanding business transactions cannot be resolved, upon request, the appraisal can be removed from PARS. Note that once published a second time, the appraisal cannot be removed.

Abuse of this policy will result in corrective actions up to and including termination of CMMI Institute Certification Credentials and CMMI Institute Partner Licenses. Violations of this policy may also result in rejection of appraisal results or published appraisal results being removed from PARS.

Additional References

- Questions regarding this policy should be directed to quality@cmmiinstitute.com
- Published Policies are available at [cmmiinstitute.com](https://cmmiinstitute.com/partners/policies) on the policy page:
<https://cmmiinstitute.com/partners/policies>

Revision History

Version Number	Date Published	Date Effective	Changes
V1.2	17 January 2020	20 June 2016	Updated format & structure
V1.1	30 September 2019	20 June 2016	Updated format & structure
V1.0	20 June 2016	20 June 2016	Initial release