



CMMI Appraisal – CMMI Appraisal System Usage Policy

Purpose

This policy defines the parameters and requirements for reporting CMMI® V2.0 appraisals to CMMI Institute via the CMMI Appraisal System (CAS).

Scope and Applicability

This policy is applicable to all candidate and certified CMMI Lead Appraisers (LAs) and their sponsoring CMMI Institute Partner organizations for the planning and reporting of CMMI V2.0 Benchmark, Sustainment, and Evaluation Appraisals. CMMI Institute Licensed Partners are responsible for maintaining current knowledge of relevant CMMI Institute policies, CMMI Method Definition Document (MDD) requirements, and for ensuring that each certified individual sponsored under their partner agreement adheres to these policies and requirements.

This policy is effective with the release of CAS on 30 September 2019. However, any CMMI V2.0 appraisal for which a Randomly Generated Sample (RGS) has been created manually must continue to be maintained via the manual review process until its conclusion. Regardless of whether the appraisal is registered manually or in CAS, the current released version of the MDD and its requirements are in effect and must be addressed by all candidate and certified LAs for either approach.

Background

CAS provides the facility for LAs to plan, record, and report each CMMI V2.0 appraisal they lead. Use of this system enables the standardization of appraisal data reporting and is intended to reduce the overall effort required to maintain appraisal records. The standardization provides for more timely and consistent analysis of appraisal data and improves the associated reporting to stakeholders and constituents.

For information about requesting an RGS, refer to Policy PA005, *CMMI Appraisal – Randomly Generated Sample Policy*.

Policy Implementation Detail

The following appraisal reporting practices will be required as of the effective date listed above.

- If an RGS will be requested for the appraisal, the Appraisal Team Leader (ATL) is required to establish a new appraisal record in CAS a minimum of 35 calendar days before the start of the Conduct Appraisal Phase (Phase 2).

- No waivers to this requirement will be granted.
- If performing an Evaluation Appraisal that will not use an RGS, the ATL must create the new CAS record a minimum of 30 calendar days before the start of Phase 2.
 - If an Evaluation Appraisal record must be created less than 35 days before Phase 2, an RGS cannot be created for it.
 - If an Evaluation Appraisal record must be created less than 30 days before Phase 2, a request for a waiver must first be sent to CMMI Institute’s Quality Team.
- When entering an appraisal in CAS, a predetermined minimum data set is required by the system. In addition to that data set, CMMI Institute requires that an ATL enter the following details in CAS a minimum of 30 calendar days prior to Phase 2:
 - The appraisal sponsor(s)
 - The legal name of the organization(s) performing project-level work in the organizational unit(s) (OU)
 - The name(s) of the OU(s) subject to the appraisal
 - An OU name cannot contain the organization’s name
 - Accurate location information for Phase 2
- Appraisal Team Members (ATMs) are required to be added to the CAS record (at a minimum) seven calendar days prior to the start of Phase 2.
- All elements of the appraisal plan must be entered at least one calendar day before Phase 2 begins. This means that every remaining field in the CAS record, except for the rating fields, must be completed before the Conduct Appraisal Phase has begun.
- Significant revision to the appraisal plan—e.g., a change to the appraisal scope—requires approval (by signature) of the appraisal sponsor.

Detailed instructions for completing each section of an appraisal record are in the CAS Video Tutorial Series, which is available throughout CAS (look for the “Section Help” button at the top of each page while setting up an appraisal) and in the Partner section of the CMMI Help Center.

Additional References

- Questions regarding this policy can be sent to quality@cmmiinstitute.com
- The CMMI Appraisal System is at <https://cmmiinstitute.com/appraisals-sys>
- The CMMI Help Center is at <https://cmmiinstitute.zendesk.com/hc/en-us>
- *CMMI Appraisal – Randomly Generated Sample Policy* is found 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
V1.1	17 January 2020	30 September 2019	Policy number changed from PA011 to PA010
V1.0	30 September 2019	30 September 2019	Initial version