



# CMMI Quality - Audit Policy

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## Purpose

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

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## Scope and Applicability

All CMMI Institute License Partners and Certified CMMI Individuals are subject to the requirements of this policy.

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## Background

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

Global CMMI adoption has brought greater emphasis to the importance of model interpretation and application. This is especially true as it applies to appraising organizations that wish to statistically manage their processes and achieve advanced process improvement capability.

The audit is essentially a comparison of evidence against audit criteria to determine findings. CMMI Institute collects evidence through observation of the Conduct Appraisal Phase, review of documentation, and/or interviews with appraisal participants, which could entail participation at the onsite, dialing into an appraisal delivery via telecom, or visual observation of the onsite through use of virtual technology. The CMMI Method Definition Document (MDD) details the requirements that must be followed for appraisals, including requirements specific to virtual techniques and virtual delivery. Findings are generated to determine degree of conformance with CMMI Institute agreements, policies, guidelines, models, and methods.

CMMI Institute randomly selects appraisal and course deliveries for audit. The goal is to mentor and make direct improvements to the appraisal and course deliveries of CMMI Partner organizations. 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 deliveries to improve consistency and provide confidence in the CMMI brand
- To identify deficiencies and opportunities in the performance of Certified CMMI Individuals and take corrective actions if needed

- In response to quality or ethics and compliance concerns
- To confirm that agreements, policies, and guidelines are understood and implemented appropriately.

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## Policy Implementation Detail

### Auditing Appraisals

CMMI Institute's intent in auditing appraisal deliveries is to provide greater support in educating all LAs, as well as the CMMI Community, on how to apply the CMMI Models in organizations, interpret the MDD, and recognize the characteristics of an organization that is continuously improving through application of the best practices of CMMI.

The CMMI Institute's goal is to audit as many appraisals as possible at all maturity levels. There is, however, focus on CMMI Maturity Level 4 and 5 appraisals. The focus of High Maturity audits is on Level 4 and 5 topics; in particular business goals, Quality and Process Performance Objectives (QPPOs), Process Performance Baselines (PPBs), Process Performance Models (PPMs), and statistically managed subprocesses. Some of the typical issues observed in audits to date 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 sub-processes 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 sub-processes
- Use of specification limits in place of control limits
- Incorrect use of statistical tools/analyses or incorrect tools used
- Statistical management focused exclusively on outcomes

During an audit of an appraisal delivery, a Lead Appraiser can expect to:

- Participate in the audit as instructed by the CMMI Institute Quality Team
- Have their Licensed Partner BPOC copied on the audit notification
- Notify the appraisal sponsor that their appraisal is being audited
- Facilitate sharing of organizational documents associated with the delivery, as requested
- Provide the written agreement between the Partner organization and the appraised organization
- Be available by Skype, Go-To-Meeting, telecom, email or other medium before, during, or after appraisal delivery, as needed
- Permit CMMI Institute Registered Interpreters to participate in calls or telecons
- Provide proof of travel (e.g. passport, airline ticket, hotel invoice, etc.)
- 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 appraiser availability. Audits may delay the CMMI Institute Quality Team's processing of the appraisal 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 may also be put on hold until the audit has concluded.

LAs are required to create a new record for each appraisal delivery a minimum of 30 days in advance of the start of Phase II activities. This helps facilitate the assignment of audits by the Quality Team; appraisals that fail to meet this requirement could be cause for corrective action by CMMI Institute.

## Auditing Courses

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

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

- Participate in the audit as instructed by the CMMI Institute Quality Team
- Have their Licensed Partner BPOC copied on the audit notification
- Be available by Skype, Go-To-Meeting, telecom, email or other medium before, during, or after course delivery, as needed (auditors may observe or listen to the delivery). Instructors are required to be present at the site of the course delivery.
- Provide proof of travel (e.g. passport, airline ticket, hotel invoice, etc.)
- Reschedule an audit if the course is cancelled or delayed.

## Audit Guide

An audit guide is provided to each Certified CMMI individual after an audit is announced. This document will help to set audit expectations with sponsors receiving CMMI services. This policy includes an audit process flow document that identifies many of the tasks associated with an audit.

## Audit Results

The Quality Team will share lessons learned that are gathered from audit findings at webinars, workshops, and conferences, and use that knowledge to make enhancements to training materials, Quality Tips, and where appropriate by supporting updates to the CMMI models and appraisal methods. Organization and Certified CMMI individual identification will not be shared.

Failure to comply with an audit will result in corrective actions. Refer to CMMI Institute Policy CMMI Quality – Defining Remedial and Corrective Actions for more information about these and other policies.

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, based on its sole discretion, if audit results indicate CMMI agreements, models, methods, or policies have not been followed. Refer to the policy listed above for more information.

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## Additional References

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

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## Revision History

<b>Version Number</b>	<b>Date Published</b>	<b>Date Effective</b>	<b>Changes</b>
V2.0	30 September 2019	30 September 2019	Updated content, format & structure.
V1.0	30 September 2016	30 September 2016	Initial release.