

Sanctioned Organizations

Maintaining Compliance with OFAC Sanctions

OFAC, or the Office of Foreign Assets Control, is a US Treasury Department agency that administers and enforces economic and trade sanctions based on US foreign policy and national security goals. In accordance with the regulations set forth by OFAC, CMMI Institute ensures compliance with any OFAC sanctions on countries or organizations. In alignment with the US sanctions regulations, CMMI Institute is prohibited from engaging in direct or indirect business activities with organizations subject to OFAC sanctions. Consequently, any organization seeking CMMI appraisal or partnership status must not be listed as a sanctioned entity by OFAC. The aim of this Quality Tip is to help the CMMI community understand these regulations and how these sanctions may impact CMMI service deliveries.

CMMI Institute actively monitors OFAC lists to ensure compliance with sanctions. Therefore, when an organization is added as the organization of record for an appraisal in the CMMI Appraisal System (CAS) and the organization is sanctioned by OFAC, CMMI Institute will inform the Lead Appraiser that CMMI Institute is unable to accept and approve of appraisal results submitted for this organization. Lead Appraisers are required to comply with this rule, and violations of this requirement can result in corrective action per the [Corrective Actions Policy](#). While we appreciate Lead Appraisers proactively checking OFAC lists to ensure compliance before committing to working with organizations for appraisals, CMMI Institute recognizes that this may not always be feasible depending upon the location of the Lead Appraiser and accessibility of these OFAC lists.

During new CMMI Partner application screening, CMMI Institute also checks for compliance with OFAC. Any Partner applications submitted from organizations with OFAC sanctions will not be approved.

Questions regarding this Quality Tip can be sent to quality@cmmiinstitute.com.

More information about OFAC can be found on <https://ofac.treasury.gov/about-ofac>