



CMMI® Certification - CMMI Certified Lead Appraiser and Instructor Renewal Policy

Purpose

This document describes the process for renewing the Certified CMMI Lead Appraiser (LA) and Certified CMMI Instructor certifications.

Scope and Applicability

All CMMI Certified LAs and CMMI Certified Instructors (credentialed individuals) are subject to the requirements of this policy. ISACA CMMI Partners are responsible for maintaining awareness of each credentialed individual sponsored under their agreement, and for monitoring each credentialed individual's progress toward satisfying renewal requirements.

Credentialed individuals must remain in good standing to be eligible for renewal; "good standing" is defined as having no outstanding invoices, having appropriately submitted all course rosters and/or appraisal results, and having no Code of Professional Conduct (COPC) or CMMI program requirement violations.

In this policy context:

- "Certification" is defined as written assurance (a certificate) provided by ISACA verifying that an individual has met the requirements (e.g., experience, course completion, successful exam completion) to deliver specific CMMI services related to the role, e.g., Certified CMMI Associate, Certified CMMI Practitioner, Certified CMMI Professional, Certified CMMI LA, Certified CMMI Instructor, and Certified CMMI High Maturity Lead Appraiser (HMLA).
- "Domain" is defined as a CMMI Domain View area of focus, e.g., Data, Development (DEV), People (PPL), Safety (SAF), Security (SEC), Services (SVC), Suppliers (SPM), or Virtual (VRT). To deliver CMMI services related to a domain, the related course(s), exam(s), and certification(s) requirements must be completed.

Policy Implementation Detail

All ISACA CMMI Partner-Sponsored certifications are valid for three years. When renewed through the renewal process described in this document, the CMMI Certified LA and the CMMI Certified Instructor certification is valid for an additional term of three years. There is no limit to the number of renewals permitted per certification; however, updates to the CMMI Performance Solutions ecosystem may require additional action to maintain certification.

Continuing Professional Education (CPE)

ISACA awards one Continuing Professional Education (CPE) credit for each one-hour increment of active participation (excluding lunches and breaks) for qualifying CMMI-specific renewal activities unless a **standardized amount** is provided elsewhere in this policy or by ISACA. Renewal credits may only be applied to an individual's current certification period.

Maintaining LA and Instructor Certifications - CPE Requirements Overview

Role	Certification Renewal Requirements
Certified CMMI Lead Appraiser	<ul style="list-style-type: none">• A minimum of 120 total CPEs must be earned during the three-year renewal period• At least 70 CPEs must be earned from <u>Category I: ISACA CMMI Service Delivery*</u>• At least 50 CPEs must be earned from <u>Category II: Continuing Education and Community Support*</u>• At least 8 CPEs must be earned specific to each domain an LA wishes to renew <p style="text-align: right;">*Category I and II Activity Tables are in appendices, below</p>
Certified CMMI Instructor	<ul style="list-style-type: none">• A minimum of 120 total CPEs must be earned during the three-year renewal period• At least 70 CPEs must be earned from <u>Category I: ISACA CMMI Service Delivery*</u>• At least 50 CPEs must be earned from <u>Category II: Continuing Education and Community Support*</u>• At least 8 CPEs must be earned specific to each domain an Instructor wishes to renew <p style="text-align: right;">*Category I and II Activity Tables are in appendices, below</p>

Maintaining LA and Instructor Certifications - CPE Requirement Specifics

Category I: ISACA CMMI Service Delivery (70 CPEs Required)

- Category I CPEs are awarded to LAs for leading appraisals and to Instructors for delivering official ISACA CMMI courses. Please refer to Appendix A for more details.
- Each full day a credentialed individual spends instructing an official CMMI course or leading Phase 2 (Conduct Phase) activities of an appraisal delivery equates to 10 CPEs. The 10-CPE allotment covers a full day of delivery and acknowledges time for pre-course/appraisal preparation and post-course/appraisal work.
- An appraisal must be submitted to ISACA within 30 days of its Phase 2 end date to be eligible to earn CPEs.

Category II: Continuing Education and Community Support (50 CPEs Required)

- Category II CPEs are awarded to LAs and Instructors for activities that support the ISACA CMMI community or that are electively undertaken to strengthen or reinforce the knowledge set possessed by the credentialed individual. Refer to Appendix B for a full list of eligible Category II activities for CPEs.
- Aside from appraisals led and official CMMI courses delivered, the same earned Category II CPEs may be applied to both Certified CMMI Instructor and Certified CMMI LA roles
- Course students or Appraisal Team Members (ATMs) are awarded eight (8) CPEs/day.

Domain Requirements (8 CPEs Required per Domain)

- Domain-specific CPEs are awarded for Category I or Category II activities that are specific to the relevant domain. For example, a certified individual possessing the SVC domain can earn SVC CPEs through leading SVC appraisals, delivering SVC courses, attending webinars/conferences/workshops/courses covering SVC-related concepts, delivering a webinar/conference/workshop covering SVC-related concepts, etc.

Submission of Documentation

It is the responsibility of credentialed individuals to maintain a record of activities that will be used as the basis for renewal and to retain appropriate documentation confirming their participation in those activities. ISACA will contact credentialed individuals 90 days before their three-year renewal period ends to remind them to submit their renewal activities for review if the requirements are not met through ISACA's internal renewal records. If requested by ISACA, credentialed individuals must submit a record of relevant activities to support renewal of their certification(s). This information can be sent to certification-renewal@cmmiinstitute.com

Renewing Recently Added Domains

If credentialed individuals add a new domain within 12 months of their current certification renewal period's expiration date, additional renewal credits will not be required for that domain within that period. Credentialed individuals who add new roles more than 12 months before the end of a certification renewal period will need to meet the renewal requirements for the newly added domain(s).

Requests for Extension

Occasionally, individuals are unable to accrue all the required renewal credits by the end of the certification period. In these cases, they may request an extension to complete the credits and renew their certification. To request one extension of up to six months, the credentialed individual must provide a plan that details how the remaining requirements will be accomplished in the extended timeframe (e.g., a scheduled appraisal or course, a conference presentation). This request must be sent to ISACA prior to the end of the certification period; ISACA will review the request and determine if the extension is approved. The sponsoring CMMI Partner will be responsible for payment of regular support fees during this extended time.

When credentialed individuals meet their renewal requirements through an extension, the next three-year certification period will be based upon the original renewal date and not the completion of the extension period. Additionally, these activities count only toward the extended certification period; they will not be counted again toward the next certification period.

Appendix A: Category I - ISACA CMMI Service Delivery

Category I: ISACA CMMI Service Delivery		Required CPE Credits
Certified CMMI LA Must meet minimum credit requirements in this category by leading appraisals (may be CMMI Benchmark, Sustainment, Evaluation, or Action Plan Appraisals (APRs)) that have been submitted to and approved by ISACA. Please note that non-submitted Evaluation Appraisals, gap analyses, or consulting activities do not count toward this category.		70
Certified CMMI Instructor Must meet minimum credit requirements in this category by delivering official ISACA CMMI courses that have been submitted to and approved by ISACA. Appraisal Team Member (ATM) training, ad hoc training, unofficial CMMI training, and marketing presentations or consulting workshops do not count toward this category.		70

Appendix B: Category II - ISACA CMMI Continuing Education and Community Support

Category II: Continuing Education and Community Support	CPE Limit Per Activity
ISACA professional educational activities: These activities include ISACA conferences, seminars, and workshops.	No CPE Limit
<p>Teaching/lecturing/presenting of ISACA professional educational content or CMMI-based performance improvement: These activities include the development and delivery of professional educational content.</p> <p>For presentations and courses, CPE hours are earned at five times the presentation time or time estimated to take the course for the first delivery (e.g.: a two-hour presentation earns 10 CPE hours) and at the actual presentation time for the second delivery.</p> <p>CPE hours cannot be earned for subsequent presentations of the same material after the second delivery unless the content is substantially modified. (if renewing LA certification <u>only</u>).</p>	No CPE Limit
Non-ISACA professional education activities: These activities include non-ISACA professional education activities that are CMMI-related (attendees must provide the associated course completion, Instructors must provide a course description and an agenda or class roster which includes the instructor).	No CPE Limit
Attend ISACA CMMI Partner Workshop or Partner Webinar Sessions. One CPE hour for each hour attending workshops and seminars.	No CPE Limit
Lead a CMMI appraisal that is formally submitted to ISACA (if renewing Instructor certification <u>only</u>)	No CPE Limit
Participate as an ATM on an official appraisal that is formally submitted to and approved by ISACA.	No CPE Limit
Participating in a CMMI Working Group: Each appointment to a Working Group is for a one-year term and is worth 20 CPEs per year.	20 per year
Possess active membership in a standards body or committee that is related to CMMI (credit awarded for one (1) membership).	10

Category II: Continuing Education and Community Support	CPE Limit Per Activity
<p>Author a published CMMI-based book via a recognized publishing organization, a white paper, a case study of a client organization's adoption efforts with CMMI, or a published CMMI-related performance improvement article that has been vetted by a recognized authority such as an industry association, peer-reviewed journal, etc. For each hour preparing the publication, one CPE can be applied.</p> <p>For books and monographs, the table of contents and title page must be available. CPE hours are earned for the actual number of hours taken to complete or review the material.</p>	No CPE Limits
<p>Complete the Annual ISACA CMMI Partner Survey or another ISACA survey collecting CMMI Partner input (2 CPEs/survey).</p>	10

Additional References

- Questions regarding this policy should be submitted via [support.isaca.org](mailto:support@isaca.org)
- 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
V2.0	19 March 2024	19 March 2024	Reduction in Domain CPE requirements; Revision of Category II CPEs and limitations
V1.2	26 October 2021	15 June 2021	Updated to ISACA branding; Updated CPE language to align with ISACA certification CPE policies; Minor grammar and readability edits
V1.1	30 September 2019	24 April 2019	Updated format & structure.
V1.0	24 April 2019	1 January 2020	Initial release.