



CMMI Quality – Corrective Actions Policy

Purpose

This policy defines corrective actions, and when these actions are required by CMMI® Institute to address quality and ethics issues.

Scope and Applicability

All CMMI Institute Licensed Partners and Credentialed Individuals are subject to the requirements of this policy. CMMI Institute Licensed Partners are responsible for maintaining current knowledge of relevant CMMI Institute policies, processes, requirements, and guidelines and for ensuring that each credentialed individual sponsored under their Partner agreement adheres to each.

Background

CMMI products and services help organizations thrive in a competitive global marketplace, but global adoption has also introduced new challenges. Standards of excellence must be applied globally, and the CMMI community must be accountable to conduct business in accordance with CMMI Institute agreements, policies, processes, requirements, and procedures. When violations arise, corrective actions will be imposed.

Corrective actions cover a wide spectrum, from measures considered remedial in nature, to much more severe penalties including loss of certification and termination of an organization's CMMI Institute Licensed Partner agreement. These actions are assigned to help ensure that the certified individual understands the issue involved and takes steps to avoid the issue in the future. CMMI Institute's preference is always mentoring and recovery; while results such as decertification are sometimes required, they are never arrived at without due consideration.

Implementation Detail

A corrective action is an action taken for disciplinary reasons and such actions could adversely affect certification and authorization credentials, certification candidacy, or CMMI Institute Partner licenses. These actions are taken by the CMMI Institute Quality Team and include, but are not limited to:

- Rejection of course or appraisal deliveries
- Withholding appraisal publications to the Published Appraisal Results (PARS) website
- Issuance of warning letters
- Assignment of required remediation
- Suspension of credentials, candidacy, or licenses for a defined period of time

- Cancellation of credentials or licenses; without opportunity for reentry into licensing, certifications, authorizations, and partnerships

Causes for Corrective Actions

The CMMI Institute Quality Team thoroughly reviews all quality and ethical concerns that may result in corrective actions. The items below represent some, but not all potential causes for corrective actions to be employed.

- Failure to comply with CMMI Institute:
 - Policies
 - Procedures
 - Methods
 - Course or appraisal audits
 - Certification and authorization agreements
 - Licensing agreements, including the Partner Guide
 - Code of Professional Conduct (COPC)
- Training and Certification issues:
 - Failure of an advanced training course
 - Failure of a written or oral examination
 - Failure of an observed appraisal or course delivery
 - Cheating or plagiarism
 - Failure of a remedial assignment
- Licensing issues:
 - Failure to be sponsored by an active Licensed Partner in good standing
 - Failure to remit support and use fees
 - Setting contractual terms with clients that create violations of method, model, policy, COPC, etc.
 - Failure to have written agreements between a CMMI Licensed Partner and its clients for the delivery of courses and appraisals
 - Misrepresenting uncredentialed individuals as qualified to deliver courses or appraisals
- Appraisal-related violations including but not limited to:
 - Failure to submit appraisal deliveries to the CMMI Institute in accordance with defined policies, the SCAMPI v1.3b Method Definition Document (MDD), and the CMMI V2.0 MDD
 - Failure to communicate the responsibilities of the appraisal sponsor role to clients
 - Using appraisal team members (ATMs) who do not meet the requirements specified in the MDD
 - Granting inflated maturity or capability levels for appraisals
 - Guaranteeing maturity or capability levels to appraisal sponsors
 - Knowingly accepting falsified evidence in an appraisal
 - Inappropriate use of the CMMI Model or MDD
 - Inappropriate interpretation of the CMMI Model or MDD
 - Unauthorized modifications of the CMMI Model or MDD
 - Inability to lead an appraisal team within the guidelines of the CMMI Model or MDD.

- Course delivery-related violations including but not limited to:
 - Failure to submit course attendee lists, including all course participants, to CMMI Institute; courses are not permitted to be audited by anyone other than CMMI Institute
 - Reporting a course delivery in which the instructor of record was not on-site [meaning physically present at the delivery location for the entire course]. This does not include pre-approved remote delivery courses.
- Data integrity issues:
 - Sharing individual user accounts in CMMI Institute systems, e.g., the CMMI Appraisal System (CAS)
 - Accessing information or accounts belonging to another individual
 - System accounts cannot be created, monitored, shared or used on behalf of another individual or organization
 - Setting up accounts that cannot be traced back to a legitimate user
 - Providing false identification
 - Organizational accounts are not permitted
 - Submitting feedback forms, surveys and course evaluations on behalf of another individual.
- Respect for Intellectual Property (IP)
 - Licensees do not have permission to create derivative products
 - Permission must be requested and granted (in writing) to use copyrights, trademarks, logos and service marks
 - Only CMMI Institute appraisal marks are approved for distribution to appraisal sponsors; all other logos are considered unauthorized

Possible Corrective Actions

Corrective actions may be one of the following, though this list is not finite. The steps below may be used, but CMMI Institute reserves the right to take any corrective action it deems appropriate based on its sole discretion:

- **Engagement/Coaching:** The CMMI Institute communicates with the certified individual to provide mentorship/coaching related to the issue being evaluated. This action is taken to ensure that the certified individual is aware that an issue or violation has occurred, and to help the individual to correct or to avoid the issue in the future.
- **Warning:** Usually issued for “first” or “minor” violations, CMMI Institute notifies the certified individual or Partner organization that a violation of policy or procedure has occurred. The violation is described, and the credentialed individual and Partner organization are warned of potential future corrective actions if the violation is repeated. Coaching or remediation is often performed in connection with a warning.
- **Suspension:** This is enacted for repeat or more serious violations. The credentialed individual is placed under suspension for a predetermined period. Usually, this is three to six months. During this time, the individual may not perform the activities for which he or she is certified. When a credentialed individual or licensed Partner is under suspension, all publications to the Partner directory are removed and access to CMMI Institute systems is

suspended. Each suspension is tracked under both the credentialed individual and the licensed Partner. If a licensed Partner accumulates more than three occurrences of suspension related to the credentialed individuals under its sponsorship, the Partner agreement is suspended for three months.

- **Decertification and/or cancellation of Partner agreement:** In the case of serious violations of policy, agreement, requirements, method, the Code of Professional Conduct, or other ethical breach. All affected credentials are cancelled and affected parties may not re-apply for certification. Partner organizations are responsible for ensuring the integrity and competence of the individuals performing work under their Partner agreement. If a corrective action results in the cancellation of an individual's certification or credential, CMMI Institute reserves the right to also cancel the sponsoring licensed Partner agreement. Credentialed individuals not involved with the corrective action may find other licensed Partner sponsorship to remain active.

If corrective actions are imposed, courses and appraisals may be rejected. In the event that an appraisal is rejected, the Lead Appraiser is required to debrief their sponsor(s) regarding the cause(s). If a course is rejected, it is the responsibility of the Instructor to notify all attendees of this outcome. Usage fees are not refunded for appraisals and courses that have been rejected. Anyone subject to a corrective action may request a review with CMMI Institute management by submitting a request to quality@cmmiinstitute.com.

Additional References

- Questions regarding this policy should be directed to quality@cmmiinstitute.com.
- LAs are responsible for reading and adhering to *CMMI Appraisal – CMMI Appraisal System Usage Policy*; Instructors are responsible for reading and adhering to *CMMI Training – Course Management System Policy*. Published Policies are available at cmmiinstitute.com on the policy page: <https://cmmiinstitute.com/partners/policies>

Revision History

Version Number	Date Published	Date Effective	Changes
V2.0	15 October 2019	29 March 2016	Updated content for alignment with MDD, format & structure.
V1.0	29 March 2016	29 March 2016	Initial release.