



CMMI Appraisal - Sponsor Role and Responsibilities Policy

Purpose

This policy defines the role of the appraisal sponsor as it pertains to a CMMI appraisal, and the rules and responsibilities that are applicable to that role.

Scope and Applicability

This policy affects all sponsors of CMMI V2.0 Benchmark and Sustainment appraisals, as well as sponsors of SCAMPI v1.3 A Appraisals. The original version went into effect 1 December 2015; this version is an update to make it consistent with the CMMI Appraisal System, as well as standard CMMI Institute policy naming, numbering, and formatting.

This policy replaces Policy 0029-R, Appraisal Sponsor Role and Responsibilities.

Background

An Appraisal Sponsor (sponsor) is an individual who champions the planning and delivery of an appraisal on an organization's processes, and who provides financial, staffing, or other resources to carry it out.

Sponsors, whether internal or external to the organization being appraised, are the organizational contact that the CMMI Institute will notify regarding appraisal activities. The Appraisal Sponsor is also the person that CMMI Institute requires to have the legal authority to make approval, acceptance, or obligations on behalf of the appraised organization. The Appraisal Sponsor's signature on the Appraisal Sponsor Role and Responsibilities document means that the Appraisal Sponsor understands, agrees to, and fully accepts the responsibilities listed in this document.

It is important that the sponsor of an appraisal understands the responsibilities related to this role. All organizations planning to be appraised, or to underwrite an appraisal of an external organization for procurement or due diligence purposes, must identify an individual to be an Appraisal Sponsor. The selected individual must have the authority to make decisions and accept the responsibilities outlined in this document. These responsibilities cannot be delegated to another individual. The Appraisal Sponsor must be available to the Appraisal Team Leader (ATL) for all communications related to the planning, conduct, submission, review, and post-appraisal reporting phases of the appraisal.

Sponsors and ATLs must ensure that both the appraisal plan and the Appraisal Sponsor Role and Responsibilities documents are signed and submitted to CMMI Institute prior to the delivery of the appraisal. Substitutions to this document will not be accepted. In this document, the

terms “signed,” “signature,” and “approved” mean that the Appraisal Sponsor has the organizational authority and responsibility to represent and commit the organization to adhering to the requirements in this policy. For example, this can include physically signing this agreement, or by providing a company chop mark used for signing all legal documents. Whatever is used, must be legally binding in the country where the appraisal is being conducted.

Policy Implementation Detail

Responsibilities during the Planning Phase

Lead Appraiser Credentials and Licensed Partner Sponsorship

- Appraisal Sponsors must enter into a written agreement with the CMMI Institute Licensed Partner for the delivery of appraisal services by CMMI Institute Certified Lead Appraisers (LAs) acting in the Appraisal Team Leader (ATL) appraisal role. Only CMMI Institute Certified Lead Appraisers are eligible to deliver authentic CMMI appraisal services. Sponsors seeking licensed appraisal services are responsible for verifying the ATL’s certifications and sponsorships by visiting CMMI Institute’s [Online Partner Directory](#). Appraisal results submitted to CMMI Institute that have not been delivered under a written and approved agreement between a Licensed Partner and the appraised organization will not be accepted, reviewed, or published.

CMMI License

- For V2.0 Appraisals, the Appraisal Sponsor ensures that the organization being appraised has a licensed copy of the CMMI Model. This will be verified by both the ATL and CMMI Institute.

Funding

- The Appraisal Sponsor ensures necessary resources and funding are made available to conduct the appraisal.

Organizational Focus

- The Appraisal Sponsor outlines the focus of an appraisal, using organizational goals and parameters.
- Appraisal Sponsors ensure that the Organizational Unit(s) selected for participation in an appraisal are clearly defined and recorded in the appraisal plan. The appraisal plan scope must be consistent with internal organizational documentation in describing the selected organization to be appraised. The Appraisal Sponsor also clearly defines the business objectives for the organization. ATLs will then map organizational objectives to appraisal objectives.

Appraisal Team Member Training, Experience and Accounts

- Appraisal Team Members (ATMs) are persons who are responsible for performing the activities as assigned and identified in the appraisal plan. ATMs must meet the minimum requirements for experience, training, and certification as defined by CMMI Institute in the Appraisal Method Definition Document (MDD). No individual is permitted to serve as both an Appraisal Sponsor and an ATM on the same appraisal.
- The Appraisal Sponsor works with their ATL to ensure that each ATM has the appropriate training and experience to participate in the appraisal. Each member is required to be registered in CMMI Institute's database and maintain their own unique account. This verifies that the ATM has received the necessary training. Sharing ATM accounts is prohibited.

Non-Attribution to Appraisal Participants

- All members of an appraisal team are expected to observe strict rules for confidentiality, the non-attribution of findings to appraisal participants, and the protection of proprietary or sensitive data. Non-attribution to participants means that individuals on the appraisal team must not disclose the identity of people who have shared information during the Conduct Appraisal Phase of the appraisal. A confidentiality and non-attribution agreement must be signed by the Appraisal Sponsor, ATL, and ATMs. Non-disclosure statements are often used to formalize these understandings from a company perspective regarding proprietary or sensitive data.

Appraisal Plan

- The ATL and Appraisal Sponsor work together to develop an appraisal plan. The Appraisal Sponsor's approval and signature in the appraisal plan indicates awareness and agreement with the entire contents of the plan.

Conflicts of Interest

- Appraisal Sponsors ensure that there are no real or perceived conflicts of interest that may result in compromising objectivity or integrity of the appraisal. When conflicts cannot be avoided, the Appraisal Sponsor works with the ATL to ensure that appropriate mitigation strategies are documented and implemented.

Required Signatures

- Three documents require signature by the Appraisal Sponsor(s) prior to the start of the Conduct Appraisal Phase. For SCAMPI v1.3 appraisals, each must be signed in hard copy; the ATL can then upload them into the SCAMPI Appraisal System (SAS). For CMMI V2.0 appraisals, a sponsor may choose one of the following two methods to provide their signature:
 - Log into the CMMI Appraisal System (CAS) and sign electronically.
 - Ask the ATL to provide a hard copy of one or more documents for signature; the ATL must then upload the signed document(s) into CAS.
- The following documents require a sponsor's signature during Phase 1:

- Appraisal Sponsor Role and Responsibilities Acceptance Form
- Confidentiality and Non-Attribution Agreement
- Appraisal Plan

Responsibilities during the Conduct Appraisal or Onsite Delivery Phase

Opening Briefings and Final Findings Presentations

- Appraisal Sponsors are required to attend the opening briefing and final finding presentations.
- If the appraisal is being used for source selection or compliance verification, the Appraisal Sponsor may have additional responsibilities applicable to laws, regulations, and policies that affect how the appraisal is planned and delivered.

Authentic Documents & Affirmations

- Appraisal Sponsors are responsible for ensuring that only “authentic”—i.e., the original work of the organization, not the work of a consultant—documents, artifacts, processes, policies, and affirmations are being appraised. In other words, the artifacts and affirmations reviewed during the appraisal must be produced, recorded, and used by people who have a current and active process role in the appraised organization.

Appraisal Feedback Form

- Submission of the Appraisal Sponsor’s feedback form is optional (unless the ATL is a candidate delivering an observed appraisal). When performing this activity, Appraisal Sponsors are required to log into the appraisal system and personally respond to the appraisal feedback questionnaire.

Appraisal Audits

- CMMI Institute conducts appraisal audits to ensure integrity and quality of appraisals, results, and application of the appraisal method. Audits can occur before, during, or after an appraisal. They may be done randomly, or based on specific criteria, e.g., CMMI Institute policies, MDD requirements. Appraisal Sponsors are required to fully cooperate with audit activities, including providing auditors with access to the organizational documentation and appraisal interviewees to:
 - Assess the knowledge and capabilities of the ATL;
 - Validate that the ATL correctly adhered to the requirements in the MDD;
 - Validate that the appraisal was conducted in accordance with all policies published by CMMI Institute;
 - Validate that the appraisal was conducted by a CMMI Institute Certified Lead Appraiser who is sponsored by a CMMI Institute Partner organization in accordance with Partner Agreement requirements and that the Partner organization and the CMMI Institute Certified Lead Appraiser are in good standing with the CMMI Institute;
 - Validate that all appraisal documents, artifacts, processes, policies, and affirmations are authentic and created by the organization being appraised. “Authentic” documents, artifacts, processes, policies, and affirmations must be produced or

provided by people who have a process role in the appraised organization. Refer to the MDD definition of “process role.”

Responsibilities during the Reporting and Post-Appraisal Phase

Appraisal Submission and Review

- Each appraisal must be submitted to CMMI Institute for review and acceptance. Appraisals are submitted via CAS for CMMI Quality Analysts to review. CMMI Institute reserves the right to accept or reject recommendations for Action Plan Reappraisals (APR) as well as submitted appraisal results for all types of appraisals. CMMI Institute reserves the right to take any and all actions it deems appropriate, based on its sole discretion, if appraisal results indicate CMMI agreements, models, methods, and policies have not been followed.

Required Signatures

- There are two documents that require signature by the Appraisal Sponsor(s) upon conclusion of the Conduct Appraisal Phase. For SCAMPI v1.3 appraisals, each must be signed in hard copy, and the ATL must then upload them into the SCAMPI Appraisal System (SAS). For CMMI V2.0 appraisals, a sponsor may choose one of the following two methods to provide their signature:
 - Log into the CMMI Appraisal System (CAS) and sign electronically.
 - Ask the ATL to provide a hard copy of one or more documents for signature; the ATL must then upload the signed document(s) into CAS.
- The following documents require a sponsor’s signature during Phase 2:
 - Appraisal Plan (if significant changes were made after the initial signature)
 - Appraisal Disclosure Statement

Appraisal Results Communication

- Appraisal Sponsors approve any distribution or communication of appraisal outcomes and maintain appraisal results. Appraisal outcomes should not be advertised, used in response to a Request for Proposal (RFP), or published in a news release until they have been accepted by the CMMI Institute Quality Program. Appraisal results must not be reported as organizational “certifications.” CMMI Institute does not certify the results of appraisals, nor does it grant accreditation.

Appraisal Marks

- CMMI Institute provides a CMMI Appraisal Mark after each appraisal is closed. This mark identifies the model view, appraisal reference number, expiration date, and maturity level, which serve to acknowledge the appraisal delivery. The Appraisal Mark may be used in publications, marketing materials, business cards, or on a website.
- Appraisal Sponsors are responsible for following the usage guidelines that are provided with Appraisal Marks. Online usage of the Appraisal Mark requires that the mark be

published with an appropriate link to the Published Appraisal Results (PARs) website, which is provided with the mark.

- Appraisal Marks are only provided to those organizations that undergo a Benchmark or Sustainment Appraisal and choose to publish their results to PARs. Questions regarding appraisal marks and usage guidelines can be sent to quality@cmmiinstitute.com.

Appraisal Evidence

- The Appraisal Sponsor ensures the appraisal evidence has been appropriately archived and protected for the duration of its validity. Benchmark Appraisals have a validity period of three years; Sustainment Appraisals are valid for two years.

Signature of Acceptance

- As an Appraisal Sponsor, you are required to acknowledge that you understand and accept the responsibilities outlined in this document. You and your ATL are required to sign the following page and submit it with your final appraisal record.

Additional References

- Questions regarding quality can be sent to quality@cmmiinstitute.com
- Questions regarding this policy should be directed to info@cmmiinstitute.com
- 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
V2.3	20 May 2020	30 August 2019	Updated structure
V2.2	30 September 2019	30 August 2019	Updated format & structure
V2.1	30 August 2019	30 August 2019	Updated for consistency with CMMI Appraisal System, and with CMMI Institute policy naming and formatting
V2.0	1 January 2019	1 January 2019	Updated to include V2.0 appraisals and audit language
V1.0	1 December 2015	1 December 2015	Initial release

Appraisal Sponsor Role and Responsibilities Acceptance Form

The *Appraisal Sponsor Role and Responsibilities* document is a set of expectations for Appraisal Sponsors. The purpose of the document is to ensure that Appraisal Sponsors understand and accept those responsibilities.

Signature of this document by each individual acting as sponsor of this appraisal indicates that they understand, agree with, and take responsibility for ensuring that the appraisal is performed in accordance with the CMMI MDD requirements, this document, and other applicable policies.

Appraisal Sponsor Signature

Date

Appraisal Team Leader Signature

Date

This document must be submitted as part of the original appraisal record and must be signed by each Appraisal Sponsor identified in the appraisal database.