



CMMI Institute Quality Policy: Defining Remedial and Corrective Actions

Quality Policy - 0030

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All CMMI Institute License Partners and CMMI Institute-Credentialed Individuals are subject to the requirements of this policy. CMMI Institute License Partners are responsible for maintaining current knowledge of relevant CMMI Institute policies and guidelines and for ensuring that each credentialed individual sponsored under their partner agreement adhere to these policies and guidelines.

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 our community must be accountable to conduct business in accordance with CMMI Institute agreements, policies, and procedures. When violations arise, and all efforts to retrain or mentor have been exhausted, remediation or other corrective actions may be imposed.

Remedial action may be required by the CMMI Institute, at its discretion, to address the issues related to warnings and suspensions. Such action is assigned to help ensure that the certified individual understands the issue involved, and will take steps to avoid the issue in the future. Remedial action may be used to reduce the length of a suspension, or, in some cases, avoid further corrective actions.

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 reported course or appraisal deliveries
- Withhold 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

Remedial and/or corrective actions may be the outcome of, but are not limited to:

- Misleading customers by representing uncertified or unauthorized individuals as qualified to deliver courses or lead appraisals
- Ethics and Compliance issues resulting from failure to comply with, or violations of CMMI Institute:
 - Policies
 - Procedures
 - Methods
 - Course or appraisal audits
 - Certification and authorization agreements
 - Licensing agreements, including the Partner Guide
 - The Code of Professional Conduct (COPC)
- Training and Certification, Licensing issues that may qualify for remediation:
 - Failure of an advanced course
 - Failure of a written or oral examination
 - An unsuccessful observation
- Training and Certification, Renewal and Licensing issues that warrant corrective actions:
 - Cheating or plagiarism
 - Failure of a remedial assignment
 - Failure to meet renewal requirements
 - Failure to upgrade to new model and method releases
 - Failure to be sponsored by an active Licensed Partner in good standing
 - Failure to remit support and use fees
- SCAMPI related violations, include, but are not limited to:
 - Failure to submit appraisal deliveries to the CMMI Institute in accordance with defined policies
 - Failure to communicate appraisal sponsor roles and responsibilities to clients
 - Failure to have written agreements between CMMI Licensed Partners and their clients for the delivery of courses and appraisals
 - Using appraisal team members who do not meet the requirements specified in the SCAMPI Method Definition Document
 - Granting inflated maturity or capability levels to appraisal sponsors
 - Guaranteeing maturity or capability levels to appraisal sponsors
 - Knowingly accepting falsified evidence in an appraisal
 - Delivering an appraisal in which the Lead Appraiser of record was not on-site [meaning physically present at the delivery location for the entire Conduct Appraisal phase]
 - Failure to comply with requirements of the SCAMPI Method (as defined in either the Required Practices or Parameters and Limits in the SCAMPI Method Definition Document)



- Inappropriate use of the CMMI Model or SCAMPI Method
- Inappropriate interpretation of the CMMI Model or SCAMPI Method
- Unauthorized modifications of the CMMI Model or SCAMPI Method
- Inability to lead an appraisal team within the guidelines of the CMMI Model or SCAMPI Method.
- Course delivery related violations, include, but are not limited to:
 - Failure to submit course attendee lists (including all participants) to CMMI Institute; course auditors are not permitted
 - 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 approved remote delivery courses.
- Data integrity issues
 - Sharing individual user accounts in CMMI Institute systems (e.g., the SCAMPI Appraisal System (SAS), Partner Resource Center (PRC), etc.)
 - 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. The steps below may be used, but CMMI Institute reserves the right to take whatever corrective action it deems appropriate based on its sole discretion:

1. **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 that an issue or violation has occurred, and to help the individual to correct, or to avoid the issue in the future.
2. **Warning:** Usually issued for “first” or “minor” violations. The CMMI Institute will notify the certified individual or partner organization that a violation of policy or procedure has occurred. The violation will be described, and the credentialed individual and partner organization will be warned of future corrective actions if



the violation is repeated. Coaching or remediation will often be performed in connection with a warning.

3. **Suspension:** For repeat or more serious violations. The credentialed individual will be placed under suspension for a pre-determined period of time. 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 will be removed and access to CMMI Institute systems will be suspended. Each suspension will be 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 will be suspended for three months.

4. **Decertification and/or cancellation of partner agreement:** In the case of serious violations of policy, agreement, or method. Also in the case of violation of 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, the CMMI Institute reserves the right to cancel the sponsoring license partner agreement. Credentialed individuals not involved with the corrective action may find other license partner sponsorship to remain active.

If corrective actions are imposed, courses and appraisals may be rejected. In the event that a course or appraisal is rejected, Instructors and Lead Appraisers are required to debrief their sponsors regarding the cause(s), and usage fees will be assessed. Anyone subject to a corrective action may request a review with CMMI Institute management by submitting a request to quality@cmmiinstitute.com.

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