



Appraisal Disclosure Statement Submission

Quality Policy - 0028-R

Released October 27, 2015; Revised¹ June 20, 2016

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.

Submission of the ADS requires three authorizations. First is the Lead Appraiser's affirmation that the information contained in the statement is accurate and the appraisal was conducted in full accordance with the requirements of the appraisal method. Second is the appraisal sponsor's affirmation of appraisal scope, accuracy, acknowledgement of validity period and agreement to maintain records. Third is a section to authorize the CMMI Steward to publish the appraisal to the Published Appraisal Results (PARS) website and allow appraisal accomplishments to be posted to social media.

To support CMMI Institute-License Partners in the conduct of their business, a two-step ADS submission process is being placed into effect immediately. Lead Appraisers may choose to submit their ADS documents in the following way:

1. Submit the ADS in two parts.
 - a. Part 1 would be the complete ADS including both the lead's and the sponsor's signatures. This section allows quality analysts to review and close the appraisal, but the appraisal *would not* be published to PARS and appraisal marks would not be distributed.
 - b. Part 2 would be the authorization to publish appraisal results and social media communications. This section can be submitted when the lead appraiser clears it to be published to PARS. This capability allows the license partner to complete any outstanding business transactions associated with the appraisal delivery.

It is the Lead Appraiser's responsibility to follow up with quality analysts to publish the appraisal results. If a two ADS submission approach is used, appraisals will not be pulled from PARS once published unless the CMMI Institute does so for quality or ethics and compliance reasons.

¹ This policy was revised to update the section that required an appraisal to be published within 90-days of the appraisal closure date. The revision allows the Lead Appraiser to decide when an appraisal will be published to PARs; there is no 90-day restriction.



2. Submit the completed ADS with the initial appraisal record. Appraisal results will be published when the appraisal is accepted by quality analysts. If the license partner finds that outstanding business transactions cannot be resolved, upon request, the appraisal can be removed from PARS. Note that once published a second time, the appraisal cannot be removed.

Abuse of this policy will result in corrective actions up to and including termination of CMMI Institute Certification Credentials and CMMI Institute Partner Licenses. Violations of this policy may also result in rejection of appraisal results or published appraisal results being removed from PARS.

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