

Audit Policy

Quality Policy - 0020-R

Revised September 30, 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 agreements, policies and guidelines, and for ensuring that all credentialed individuals sponsored under their partner agreement adheres to each.

Global CMMI adoption has brought greater emphasis to the importance of model interpretation and application. This is especially true as it applies to appraising organizations that wish to statistically manage their processes and achieve advanced process improvement capability.

The audit is essentially a comparison of audit evidence against audit criteria to determine findings. Evidence is collected through CMMI Institute's observation of documentation reviews, which could entail participation at the onsite, dialing into an appraisal delivery via telecom, or visual observation of the onsite through use of virtual technology. For clarification, appraiser-led virtual appraisal deliveries are not permitted; the Lead Appraiser is expected to be onsite. Findings are generated to determine conformance or non-conformance with CMMI Institute agreements, policies, guidelines models and methods.

The CMMI Institute randomly selects appraisal and course deliveries for audit. The goal is to mentor and make direct improvements in circumstances related to the appraisal or course delivery for the sponsor organizations. Appraisers and Instructors must be prepared to participate in audits during any phase of the appraisal or course delivery.

Audits are being performed to:

- Identify deficiencies in the system and take corrective actions
- Provide confidence that CMMI Models and Methods are being utilized in the manner prescribed
- Confirm that agreements, policies and guidelines are understood and implemented appropriately.

Auditing Appraisals

The CMMI Institute Quality Team's intent in auditing appraisals is to provide greater

support in educating all appraisers and the CMMI Community on how to apply the CMMI Models in organizations, interpret the MDD, and recognize the characteristics of an organization that is statistically managing its sub-processes in a manner consistent with the CMMI.

The CMMI Institute's goal is to audit as many appraisals as possible at all maturity levels. There will, however, be a particular focus on CMMI Level 4 and 5 appraisals. The main focus of high maturity audits will be on Level 4 topics; in particular business goals, Quality and Process Performance Objectives (QPPOs), Process Performance Baselines (PPBs), Process Performance Models (PPMs), and statistically managed sub-processes. Some of the typical issues observed in audits to date include (but not limited to):

- QPPOs that are not quantifiable or measurable
- Simple distribution tables being accepted as process performance models
- PPMs that are deterministic as opposed to statistical or probabilistic
- PPMs used to monitor project status to the exclusion of process performance
- Simple ratios not including controllable factors accepted as PPMs
- No linkage between processes or sub-processes and PPMs
- No linkage or use of PPBs with PPMs
- Inability to explain how a process was composed to achieve desired QPPOs
- Misinterpreting measures as sub-processes
- Use of specification limits in place of control limits
- Incorrect use of statistical tools/analyses or incorrect tools used
- Statistical management focused exclusively on outcomes
- Lead Appraiser not onsite for the verification of artifacts, affirmation gathering, opening briefing and findings presentations

During an audit of an appraisal delivery, a Lead Appraiser can expect to:

- Participate in the audit as instructed by CMMI Institute Quality
- Have their Licensed Partner Business Point of Contact copied on the audit notification
- Notify the appraisal sponsor of the organization being appraised that their appraisal is being audited
- Share all organizational documents associated with the delivery
- Provide their written agreement between the Partner organization and the organization acquiring the appraisal services
- Be available by Skype, Go-To-Meeting, telecom, email or other medium during the entire appraisal delivery (to include the Conduct Appraisal Phase). Appraisers are required to be present at the site of the appraisal delivery. Remote delivery is not permitted at this time.
 - Permit CMMI Institute interpreters to participate in calls or telecons
- Provide proof of travel (e.g. passport, airline ticket, hotel invoice)

- Reschedule an audit if the appraisal is cancelled or delayed.

Audit duration will depend upon the scope of the appraisal, identification of required documents, and auditor and appraiser availability. Audits may extend beyond the 30-day window to complete the Quality Team Review in SAS.

Lead Appraisers are required to create a new record for each appraisal delivery a minimum of 30 days in advance of the start of Phase II activities (as defined in the SCAMPI Method Definition Document(MDD)). High maturity appraisals must be clearly identified so that they can be identified for audit by an auditor who holds the HMLA certification.

Auditing Courses

The CMMI Institute Quality Team's intent in auditing courses is to provide greater support in educating instructors on the techniques currently taught in CMMI Institute's training courses.

During an audit of a course delivery or an instructor can expect to:

- Participate in the audit as instructed by CMMI Institute Quality
- Have their Licensed Partner Business Point of Contact copied on the audit notification
- Notify the course sponsor of the organization acquiring the training that their appraisal is being audited
- Provide their written agreement between the Partner organization and the organization acquiring the instructional services
- Be available by Skype, Go-To-Meeting, telecom, email or other medium during the entire course delivery (auditors may observe or listen to the delivery). Instructors are required to be present at the site of the course delivery. Remote delivery is not permitted at this time.
 - Permit CMMI Institute interpreters to participate in calls or telecons
- Provide proof of travel (e.g. passport, airline ticket, hotel invoice)
- Reschedule an audit if the course is cancelled or delayed.

Audit Results

The Quality Team will share knowledge that is gathered as a result of audit findings at presentations at conferences, enhancements to training materials, the Partner Resource Center and where appropriate by supporting updates to the CMMI Models and appraisal method. Organization and appraiser identification will not be shared.

Failure to comply with an audit will result in corrective actions. Refer to policy number 0030 "CMMI Institute Quality Policy: Defining Remedial and Corrective Actions" at <http://partners.cmmiinstitute.com/cmmi-quality/quality-communications/> for more information about these and other policies.

Questions regarding this policy should be directed to quality@cmmiinstitute.com.