



Appraisal Sponsor Role and Responsibilities

Quality Policy – 0029

Released November 5, 2015

An Appraisal Sponsor (sponsor) is an individual who champions the planning and delivery of an appraisal on an organization, and provides financial 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.

It is important that the sponsor of an appraisal understand 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 perform the duties of the sponsor. The selected individual must have the authority to make decisions and accept the responsibilities outlined in this document. This role cannot be delegated to another individual. The sponsor must be available to the Lead Appraiser (LA) for all communications related to the planning and conduct of the appraisal.

Responsibilities during the Planning Stage

Lead Appraiser Credentials and License Partner Sponsorship

Appraisal Sponsors must enter into a written agreement with the CMMI Institute License Partner for the delivery of appraisal services by CMMI-Institute Certified Lead Appraisers, who are eligible to deliver SCAMPI appraisal services. Sponsors seeking licensed appraisal services must verify the LA's certifications and sponsorships on the CMMI Institute's [Online Partner Directory](#). Appraisal results submitted to the CMMI Institute that have not been delivered under a written agreement between a License Partner and the appraised organization will not be accepted.

Funding

The sponsor ensures necessary resources and funding are made available to conduct the appraisal.

Organizational Focus

The sponsor outlines the focus of an appraisal, using organizational goals and parameters.

Appraisal Sponsors ensure that the business unit or subunit selected for participation in an appraisal is clearly defined and documented in the appraisal plan. The sponsor also clearly defines the business objectives for the organization. Lead Appraisers will then map organizational objectives to appraisal objectives.

Appraisal Team Member Training, Experience and Accounts

The sponsor ensures that each appraisal team member has the appropriate training and



experience to participate in the appraisal. Each member is required to register and maintain his/her own unique account in CMMI Institute's appraisal database. Sharing accounts is prohibited.

Non-Attribution to Appraisal Participants

All Lead Appraisers and team members are expected to observe strict rules for confidentiality, the protection of proprietary or sensitive data, and the non-attribution of information to appraisal participants. Non-disclosure statements are often used to formalize these understandings.

Appraisal Plan

Lead Appraisers and sponsors work together to create an appraisal plan. The appraisal sponsor's signature in the appraisal plan indicates awareness and agreement with the entire contents of the plan. The sponsor assumes responsibility for the appraisal and its results on behalf of the appraised organization.

Conflicts of Interest

Appraisal Sponsors ensure that there are no real or perceived conflicts of interest that may result in the CMMI Institute having a lack of confidence in the appraisal results. When conflicts cannot be avoided, the sponsor works with the LA to ensure that appropriate mitigation strategies are documented and implemented.

Responsibilities during the Onsite Delivery

Opening Briefings and Final Findings Presentations

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 sponsor may have additional responsibilities applicable to laws, regulations, and policies that affect how the appraisal is planned and delivered.

Appraisal Feedback Form

Submission of the Sponsor's feedback form is optional (unless the LA 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.

Responsibilities Post-Appraisal

Appraisal Audits

The CMMI Institute will identify some appraisals for audit. Sponsors are required to allow auditors access to the same documents and findings their lead appraiser has access to.

Audits are performed to:

- Assess the knowledge and capabilities of the LA;
- Validate that the SCAMPI method was correctly implemented in the appraised organization;
- Validate that the appraisal was conducted in accordance with all policies implemented by the CMMI Institute;



- Validate that the SCAMPI was conducted in accordance with agreements between the LA, the License Partner, and the CMMI Institute.

The CMMI Institute auditor does not make judgments on organizational capability.

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.”

Appraisal Marks

The CMMI Institute will provide an appraisal mark as each appraisal is closed. This mark identifies the model constellation and maturity level, and serves to acknowledge the appraisal delivery. The appraisal mark may be used in publications or on a website. Appraisal Sponsors are responsible for following the usage guidelines that are provided with the appraisal marks. Online usage of the appraisal mark requires that the mark be published with the 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 SCAMPI A and choose to publish their results to PARs. Questions regarding appraisal marks and usage guidelines can be sent to appraisalmark@cmmiinstitute.com.

Appraisal Evidence

The sponsor ensures the appraisal evidence has been appropriately archived and protected for the duration of its validity.

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 lead appraiser are required to sign the following page and submit it with your final appraisal record.

Questions regarding this document can be sent to CMMI Institute's Quality Team at quality@cmmiinstitute.com.



Appraisal Sponsor Roles and Responsibilities Acceptance Form

The *Appraisal Sponsor Roles 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.

Your signature on this document indicates that you understand and take responsibility for ensuring that the appraisal is performed in accordance with the SCAMPI Method and applicable policies.

Appraisal Sponsor Signature

Date

Appraisal Sponsor Signature

Date

Appraisal Sponsor Signature

Date

Lead Appraiser Signature

Date

This document must be submitted as part of the original appraisal record and must be signed by the appraisal sponsor(s) identified in the appraisal database.