

Appraisal Sponsor Role and Responsibilities

Notice

The CMMI Method Definition Document (MDD) is the authoritative source for all appraisal requirements and must be used, followed and adhered to for all registered appraisals.

Applicability

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 Lead (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.

Responsibilities during the Planning Phase

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 (LAs). Only CMMI Institute Certified Lead Appraisers are eligible to deliver authentic CMMI appraisal services. Sponsors seeking licensed appraisal services are responsible for verifying the LA'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 License Partner and the appraised organization will not be accepted, reviewed, or published.

CMMI License

The Appraisal Sponsor ensures that the organization being appraised has a licensed copy of the CMMI Model. This will be verified by both the CMMI Institute Certified Lead Appraiser 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 business unit(s) or subunit(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. Lead Appraisers 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 Lead Appraiser 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 Lead Appraisers and team members 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 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

Lead Appraisers 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.

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.

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 the CMMI Appraisal System 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.

Appraisal Audits

CMMI Institute conducts appraisal audits to ensure integrity and quality of appraisals, results, and application of the appraisal method. Audits may be done randomly, or based on specific criteria, e.g., CMMI Institute policies, MDD requirements. Appraisal Sponsor 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 LA;
- Validate that the Lead Appraiser 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 in accordance by a Certified Appraisal Team Lead who is sponsored by a CMMI Partner organization in accordance with Partner Agreement requirements and that the Partner organization and the ATL 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."

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 will provide a CMMI Appraisal Mark as each appraisal is closed. This mark identifies the model, 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 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 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 Lead Signature

Date

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