

## Observation Guide for Candidates

### Overview

Observations are the final step before a qualified Candidate can become an MDDAP® Lead Appraiser. To become certified, a Candidate must effectively deliver activities and meet all objectives during the observation.

The Observer is responsible for guiding the Candidate through the process and coaching them throughout the entire observation event. Candidates should ask questions and implement coaching as they receive it.

### MDDAP Lead Appraiser Candidates

Candidates must be observed while leading an MDDAP Appraisal and demonstrate the ability to conduct an appraisal in accordance with the MDDAP Appraisal Method Definition Document (M-MDD), the M-MDD Toolkit, and ISACA policies and procedures. After successful completion of the appraisal delivery and observation, Candidates are certified to lead MDDAP Appraisals.

### Observation Responsibilities

The primary responsibilities of the Observer and Candidate include but are not limited to those outlined below. All Candidates must also adhere to all applicable agreements, processes, policies, and guidelines.

Roles	Responsibilities
<b>Observer</b>	<ul style="list-style-type: none"> <li>• Required to prepare for the observation by reviewing the Observer Checklist</li> <li>• Required to meet all participation obligations outlined in the Observer Participation Requirements</li> <li>• Must submit the completed Observation Form within 10 business days after the event</li> <li>• Responsible for: <ul style="list-style-type: none"> <li>○ Coordinating observation activities</li> <li>○ Communication</li> <li>○ Reviewing the draft appraisal plan/schedule</li> <li>○ Providing feedback on plans/schedules and verifying planning is comprehensive, accurate, and activities are not underestimated</li> <li>○ Monitoring planning progress</li> <li>○ Providing continuous feedback and coaching before, during, and after appraisal activities</li> <li>○ Confirming activities for observation</li> <li>○ Observing activities</li> <li>○ Reporting observation outcomes to ISACA</li> <li>○ Conducting observation follow up as needed</li> </ul> </li> <li>• Must agree to and is obligated to take over and finish the delivery of the observed activity, i.e., appraisal delivery, if the Candidate is unable to successfully complete the</li> </ul>

Roles	Responsibilities
	observation due to unforeseen circumstances, e.g., significant quality issues, performance issues, or a personal emergency.
<b>Candidate</b>	<ul style="list-style-type: none"> <li>• Responsible for:               <ul style="list-style-type: none"> <li>○ Coordinating all event activities with the organization and/or Appraisal Sponsor</li> <li>○ Communication</li> <li>○ Creating the draft appraisal plan/schedule or draft course plan</li> <li>○ Implementing feedback on plans/schedules</li> <li>○ Planning activities</li> <li>○ Conducting activities</li> <li>○ Responding to coaching inputs throughout activities</li> <li>○ Observation follow up as needed</li> </ul> </li> </ul>

### Required Candidate/Observer Interactions

The Observer is required to establish meetings (and a daily schedule during the appraisal) with the Candidate, monitor progress, and provide guidance. If an interpreter is needed, the Candidate should coordinate with the Observer to select one. Additionally, the Observer coaches the Candidate on all applicable policies, requirements, and processes throughout the delivery. The Observer reviews the Candidate's progress utilizing the Observation Evaluation Form and reviews the final Observation Report with the Candidate after the delivery. The Observer is responsible for coordinating the schedule of the required activities (outlined below) with the Candidate.

### Required MDDAP Lead Appraiser Observation Activities

In addition to the above interactions with the Candidate, the Observer is required to:

- Attend Appraisal Sponsor meetings
- Observe Appraisal Team Member (ATM) training
- Observe Readiness Review activities
- Review draft appraisal plan thoroughly and provide written feedback
- Observe all appraisal activities

### Observation Evaluation

Observers evaluate the Candidate's demonstration of their depth and breadth of knowledge and their ability to apply that knowledge within the confines of the applicable requirements for delivery of the appraisal.

### MDDAP Lead Appraiser Candidates

MDDAP Lead Appraiser Candidates are evaluated in three main areas and must receive a passing score in each to successfully complete their observation.

Evaluation Area	Rating Parameters	Passing Score
<b>Part 1: M-MDD Activities</b>	Each objective/activity is rated Met, Partially Met, or Not Met. This information is scored and summarized.	90% or higher; 80%-89% requires additional coaching prior to certification
<b>Part 2: MDDAP Lead Appraiser Competencies</b>	Each competency is rated Met, Partially Met, or Not Met. This information is scored and summarized.	90% or higher; 80%-89% requires additional coaching prior to certification
<b>Part 3: In-Person Versus Virtual Solution Delivery</b>	This entire area is rated as Pass or Fail.	Pass

## Successful Observation Completion

To complete this observation, the Candidate must satisfactorily meet all objectives/activities, including:

- Plan and prepare an appraisal plan and use Observer feedback to adjust the plan, as needed
- Accurately and effectively conduct all appraisal activities in accordance with M-MDD requirements
- Exhibit competency in nine areas:
  - Achieving and managing agreements
  - Decision making and problem solving
  - Project planning and management
  - Interpersonal communication and facilitation
  - Integration, articulation, and expression of information
  - Understanding and adapting to organizational context
  - Model interpretation
  - Appraisal method, adaptation, and application
  - Professionalism
- Understand the needs, constraints, and differences with executing in-person, hybrid, and virtual appraisal activities

## Observation Failure

A Candidate who does not satisfactorily complete an activity has the following opportunities to address the issue:

- Candidates receive coaching from the Observer during the observation.
- Observers meet with the Candidate daily to debrief and provide additional coaching, as needed, during the live observation event.
- When the Candidate demonstrates opportunities for improvement in a specific area, additional coaching may be considered as a final option to ensure the necessary learning

has occurred. Additional coaching beyond the observation is only an option when the Candidate exhibits basic foundational knowledge while demonstrating a few opportunities or areas requiring additional improvement and without exhibiting blatant ethical or professional issues. For additional guidance on the coaching process, refer to the Observation-Coaching Parameters and Requirements.

Candidates who do not receive a passing score on the evaluation fail the observation. Candidates that have an objective marked as “Not Met” on the evaluation form automatically fail the observation.

## Getting Started

The recommended next steps for initiating the observation process include:

1. Verify successful completion of the MDDAP Lead Appraiser Training course.
2. Review the Observation Guide (this document) and corresponding observation policies (refer to References section below).
3. Submit an MDDAP ATL Application.
4. Share availability for an observation.
5. Identify any Conflicts of Interest (COIs) that may exist with the Observer once the potential Observer is identified and communicated by ISACA.
6. Once ISACA confirms the Observer, establish contact with the Observer and coordinate to establish meetings (and a daily schedule during the appraisal).
7. Plan and prepare for the live observation event following all applicable policies, requirements, and parameters.
8. Begin setting up the appraisal in the CMMI Appraisal System (CAS) as soon as possible. Add the Observer to the appraisal team so they can review the appraisal plan in CAS and provide feedback.

## References

- Policies webpage: <https://cmmiinstitute.com/partners/policies>
- Code of Professional Conduct: [CMMI Code of Professional Conduct](#)