

CMMI Product Suite: Procedures

This web page documents the procedures to be followed by SEI Partners for the delivery of the *Introduction to CMMI v1.2*, *CMMI for Acquisition Supplement for Introduction to CMMI v1.2* and *Services Supplement for Introduction to CMMI v1.2* courses and delivery of SCAMPI appraisal services under CMMI Product Suite License Agreements with the Carnegie Mellon University Software Engineering Institute as described in the License Specifications. The contents of this web page are included by reference in any CMMI Product Suite License Agreement.

For information on becoming an SEI Partner, please visit <http://www.sei.cmu.edu/partners/>.

A. Definitions

1. **"SEI-Authorized Individual"** means an SEI-Authorized CMMI Instructor, an SEI-Authorized SCAMPI Lead Appraiser and/or an SEI-Authorized SCAMPI B&C Team Leader.
2. **"SEI-Authorized CMMI Instructor"** or **"SEI-Certified CMMI Instructor"** means a person who (i) has earned at least one SEI-instructor authorization or certification by successfully completing the applicable SEI qualification process as described in this Agreement and either at: <http://www.sei.cmu.edu/partners/upload/CMMInstAuth.pdf>, <http://www.sei.cmu.edu/partners/upload/CMMInstAcqAuth.pdf>, or <http://www.sei.cmu.edu/partners/upload/CMMInstSvcAuth.pdf> (ii) has met all ongoing requirements to maintain such authorization or certification, including the payment of any and all fees due for such authorization or certification, and (iii) is sponsored by an SEI Partner for the CMMI Product Suite. All CMMI Instructors are in the process of being transitioned or in the future will be transitioned into an SEI-Certified category. All references contained herein to "SEI-Authorized" CMMI Instructor will be replaced with the term "SEI-Certified" CMMI Instructor upon the relevant individual's fulfillment of the requirements set forth in the procedures for attaining that particular SEI-Certified CMMI Instructor credential. Accordingly, at such time as a role becomes "SEI-Certified", all references contained herein to "Authorization Candidate" as it relates to that particular role will be replaced with the term "Certification Candidate".
3. **"SEI-Authorized SCAMPI Lead Appraiser"** or **"SEI-Certified SCAMPI Lead Appraiser"** means a person who (i) has earned at least one authorization or certification by successfully completing the applicable SEI qualification process as described either at <http://www.sei.cmu.edu/certification/process/scampi/scampiladev.cfm>, <http://www.sei.cmu.edu/certification/process/scampi/scampilaacq.cfm>, or <http://www.sei.cmu.edu/certification/process/scampi/scampilasvc.cfm> (ii) has met all ongoing requirements to maintain such authorization or certification, including the payment of any and all fees due for such authorization or certification, and (iii) is sponsored by an SEI Partner for the CMMI Product Suite. All SCAMPI Lead Appraisers are in the process of being transitioned or in the future will be transitioned into an SEI-Certified category. All references contained herein to "SEI-Authorized" SCAMPI Lead Appraiser will be replaced with the term "SEI-Certified" SCAMPI Lead Appraiser upon the relevant

individual's fulfillment of the requirements set forth in the procedures for attaining that particular SEI-Certified SCAMPI Lead Appraiser credential. Accordingly, at such time as a role becomes "SEI-Certified", all references contained herein to "Authorization Candidate" as it relates to that particular role will be replaced with the term "Certification Candidate".

4. **"SEI-Authorized SCAMPI B&C Team Leader"** means a person who (i) has earned at least one authorization by successfully completing the applicable SEI qualification process as described either at <http://www.sei.cmu.edu/partners/upload/dev-acq-SCAMPIbcDevAuth.pdf>, <http://www.sei.cmu.edu/partners/upload/dev-acq-SCAMPIbcAcqAuth.pdf>, or <http://www.sei.cmu.edu/partners/upload/SCAMPIbcSvcAuth.pdf> including the payment of any and all fees due for such authorization, (ii) has met all ongoing requirements to maintain such authorization, and (iii) is sponsored by an SEI Partner for the CMMI Product Suite.
5. **"SEI-Certified Individual"** means a person who (i) has earned a certification credential by successfully completing the applicable SEI certification process described at <http://www.sei.cmu.edu/certification>, (ii) has met all ongoing requirements to maintain such certification, including the payment of any and all fees due for such certification, and (iii) is sponsored by an SEI Partner for the CMMI Product Suite.
6. **"SEI-Certified SCAMPI High Maturity Lead Appraiser"** means a person who (i) has earned a certification credential by successfully completing the applicable SEI certification process described at <http://www.sei.cmu.edu/certification/process/scampi/scampihmla.cfm>, (ii) has met all ongoing requirements to maintain such certification, including the payment of any and all fees due for such certification, and (iii) is sponsored by an SEI Partner for the CMMI Product Suite.

B. Qualification Process

Details for the qualification process are listed at the web pages appearing below.

1. Individual Qualification and Maintenance

i. SEI-Authorized or SEI-Certified CMMI Instructors

a. SEI-Authorized Introduction to CMMI v1.2 Instructor

<http://www.sei.cmu.edu/partners/upload/dev-acq-CMMIv12DevAcqInstAuth.pdf>

b. SEI-Authorized CMMI for Acquisition Supplement Instructor

<http://www.sei.cmu.edu/partners/upload/dev-acq-CMMIv12AcqSupAuth.pdf>

c. SEI-Authorized CMMI for Services Supplement Instructor

<http://www.sei.cmu.edu/partners/upload/CMMIinstSvcAuth.pdf>

ii. SEI-Authorized or SEI-Certified SCAMPI Lead Appraisers

a. SEI-Authorized or SEI Certified SCAMPI Lead Appraiser using CMMI-DEV

<http://www.sei.cmu.edu/certification/process/scampi/scampiladev.cfm>

b. SEI-Certified SCAMPI Lead Appraiser using CMMI-ACQ

<http://www.sei.cmu.edu/certification/process/scampi/scampilaacq.cfm>

c. SEI-Certified SCAMPI Lead Appraiser using CMMI-SVC

<http://www.sei.cmu.edu/certification/process/scampi/scampilasvc.cfm>

iii. SEI-Authorized SCAMPI B&C Team Leaders

a. SEI-Authorized SCAMPI B&C Team Leader using CMMI-DEV

<http://www.sei.cmu.edu/partners/upload/dev-acq-SCAMPIbcDevAuth.pdf>

b. SEI-Authorized SCAMPI B&C Team Leader using CMMI-ACQ

<http://www.sei.cmu.edu/partners/upload/dev-acq-SCAMPIbcAcqAuth.pdf>

c. SEI-Authorized SCAMPI B&C Team Leader using CMMI-SVC

<http://www.sei.cmu.edu/partners/upload/SCAMPIbcSvcAuth.pdf>

iv. SEI-Certified SCAMPI High Maturity Lead Appraiser

<http://www.sei.cmu.edu/certification/process/scampi/scampihmla.cfm>

2. Sponsorship

i. Sponsorship Form

Agreement Partner shall provide confirmation of sponsorship of candidates for SEI-Authorized Individuals and SEI-Certified Individuals to the SEI by submitting the sponsorship form located at <http://www.sei.cmu.edu/partners/resources/forms/>.

C. Delivering CMMI Product Suite Courses

1. General

i. Duplication, Distribution, and Updating of CMMI Product Suite Materials

a. Accessing Materials from SEI

The SEI shall provide electronic access to the CMMI Product Suite materials for the *Introduction to CMMI v1.2* course to SEI-Authorized Introduction to CMMI v1.2 Instructors sponsored by Agreement Partner upon their instructor authorization.

The SEI shall also provide electronic access to the instructor's notes for the *CMMI v1.2 Instructor Training* course to each Introduction to CMMI v1.2 Instructor Authorization Candidate.

The SEI shall provide electronic access to the CMMI Product Suite materials for the *CMMI for Acquisition Supplement for Introduction to CMMI v1.2* and *Services Supplement for Introduction to CMMI v1.2* to SEI-Authorized CMMI for Acquisition and CMMI for Services Supplement Instructors sponsored by Agreement Partner upon their instructor authorization.

b. 3rd Party Duplication

Agreement Partner may make one paper copy of the applicable course materials per Course Participant. Agreement Partner may engage a third party to reproduce the course materials as long as 1) the number of copies produced is limited to one copy of the materials per Course Participant, and 2) any copies produced are distributed exclusively to Course Participants.

c. Packaging of Materials

Agreement Partner shall package applicable CMMI Product Suite materials in Agreement Partner-provided packaging with appropriate tabs and labeling.

d. Change Management

SEI shall own and maintain all CMMI Product Suite materials. Agreement Partner and its instructors are encouraged to submit change requests to the SEI for review.

ii. Usage of Translated Materials

The authoritative source of the CMMI Product Suite course materials shall be that written in the English language. Unless an SEI-sanctioned translation of the course materials is made available by the SEI, Agreement Partner and SEI-Authorized CMMI Instructors are required to use the authoritative source in the delivery of the CMMI Product Suite. Agreement Partner may, however, use the course materials to create unofficial translations of the course exercises and assignments for the CMMI Product Suite courses only as long as SEI has not released an SEI-sanctioned translation in the language of the unofficial translation and if Agreement Partner provides: 1) advance written notification to the SEI of Agreement Partner's intent to create an unofficial translation; 2) a copy of the English language version of the same exercises and assignments to the Course Participants; 3) a copy of the unofficial translation to the SEI in electronic format for posting in an instructor resource library; and 4) the following notices and disclaimers are displayed on the unofficial translations:

"This translation of Carnegie Mellon University copyrighted material is not an SEI-sanctioned translation.

"This unofficial translation of course exercises and assignments from [insert name of CMMI Product Suite course] was prepared by [insert name of Agreement Partner] under license and special permission by the Software Engineering Institute.

"Neither Carnegie Mellon University nor the Software Engineering Institute directly or indirectly endorses this unofficial translation. Accuracy and interpretation of this translation are the responsibility of [insert name of Agreement Partner]. The SEI has not participated in this translation.

"[insert name of CMMI Product Suite course] course materials including all slides, exercises, and assignments are copyrighted materials of Carnegie Mellon University.

"This unofficial translation may be used only as long as SEI has not released an SEI-sanctioned translation in the language of the unofficial translation."

iii. SEI Support

SEI support to Agreement Partner includes the following additional activities:

- Review Agreement Partner provided data and feedback as necessary.
- Phone and email support for SEI-Authorized CMMI Instructors.
- Annual meeting with Agreement Partner at SEI-selected location to review status and performance data, share experience, and recommend changes.
- Maintenance of CMMI Product Suite and distribution of updates.
- Listing of Agreement Partner and its SEI-Authorized CMMI Instructors in the SEI Partner Directory.
- Review of Agreement Partner's and SEI-Authorized CMMI Instructor's requests for changes to course materials.
- Ethics and Compliance program support.

2. Conducting CMMI Product Suite Courses

i. Class Size

The recommended class size for the classroom delivery of each offering of the *Introduction to CMMI v1.2* course should be limited to a maximum of 25 students. The minimum suggested class size for the classroom delivery is 6 students.

The recommended class size for the classroom delivery of each offering of the *CMMI for Acquisition Supplement for Introduction to CMMI v1.2* course should be limited to a maximum of 25 students. The minimum suggested class size for the classroom delivery is 6 students.

The recommended class size for the classroom delivery of each offering of the *Services Supplement for Introduction to CMMI v1.2* course should be limited to a maximum of 25 students. The minimum suggested class size for the classroom delivery is 6 students.

ii. Course Delivery

Except with the prior written approval of the SEI, distance learning, through the use of teleconference, videoconference or other remote access learning media for CMMI Product Suite courses is not permitted.

As a prerequisite for participation in the *CMMI for Acquisition Supplement for Introduction to CMMI v1.2* course, a Course Participant must have satisfactorily completed the *Introduction to CMMI v1.2* course.

As a prerequisite for participation in the *Services Supplement for Introduction to CMMI v1.2* course, a Course Participant must have satisfactorily completed the *Introduction to CMMI v1.2* course.

iii. Altering CMMI Product Suite Materials

Except as provided in section B.1.ii. of these Procedures, Agreement Partner may alter the CMMI Product Suite materials only to make minor grammatical corrections or to change spelling to accommodate regional style (such as changing "center" to "centre"). Except for such minor grammatical corrections and regional style accommodations, no other changes to CMMI Product Suite materials are allowed without prior written consent from the SEI.

Agreement Partner may add supplementary, Agreement Partner-provided, material clearly designated as such. Supplementary material shall not a) be used to replace CMMI Product Suite course materials or b) contain the SEI logo and/or copyright notices.

All SEI-originated instructional materials (printed or otherwise) that are distributed to students, clients, prospects, and others, must incorporate:

1. the SEI logo,
2. the Carnegie Mellon University copyright notice ("Copyright © 20__ by Carnegie Mellon University"), and
3. any related Carnegie Mellon University service or trade marks that appeared on the materials as provided by the SEI.

No other markings that would distinguish such materials from the same items provided by the SEI itself are permitted.

iv. Certificates

Agreement Partner shall provide course completion certificates to the Course Participants who successfully complete CMMI Product Suite courses provided by Agreement Partner.

SEI shall make available Carnegie Mellon University continuing education units to Agreement Partner's Course Participants who successfully complete CMMI Product Suite courses.

D. Data Submission Requirements

1. Attendee Lists

Within 30 days of the completion of any course delivered under this Agreement, Agreement Partner shall (i) ensure that SEI-Authorized CMMI Instructors submit to SEI the attendee list on the SEI-provided attendee list template.

Course attendee lists shall include the identification, as required by the SEI, of each Course Participant trained by Agreement Partner, whether or not Course Participant successfully completed the course. If any Course Participant has requested that his or her identity not be released to SEI, Agreement Partner shall report the attendee as "Anonymous Attendee" (enter first name as "Anonymous" and last name as "Attendee") in the required attendee lists and shall inform the attendee that the attendee will not receive pre-requisite credit, continuing education units, or any other benefits normally provided by SEI to Course Participant. If an individual elects to be entered as an "Anonymous Attendee", the Agreement Partner shall inform the individual that he or she will be:

- a. unable to retroactively elect to provide their personal information and receive credit, and
- b. ineligible to participate in any further Authorization Candidate training.

SEI will invoice Agreement Partner for fees based on the attendee lists submitted.

2. Course Evaluations

Within 30 days of the completion of a course offering, Agreement Partner shall transmit completed course evaluation forms to the SEI via email, express mail or U.S. Mail.

3. Data Submission Points of Contact:

Agreement Partner shall submit completed course evaluation forms to:

CMMI Course Administrator
SEI
4500 Fifth Avenue
Pittsburgh, PA 15213
Facsimile: (412) 268-575

E. Quality Assurance

1. Pre-Audit Remediation

The SEI reserves the right to require remedial work for a CMMI Instructor Authorization Candidate pursuing authorization at either or both of the training course or the observation/mentoring stages. Any remedial work for CMMI Instructor Authorization Candidates assigned by the SEI must be satisfactorily completed within 3 months unless otherwise stipulated by the SEI. Any additional SEI support for remedial work will be billed in accordance with CMMI Product Suite: Prices at <http://www.sei.cmu.edu/partners/upload/cmmiPrices.pdf>.

2. SEI-Authorized CMMI Instructor Audit Program

The SEI will conduct random audits of courses submitted by SEI-Authorized CMMI Instructors each year. The SEI may also conduct random audits of submitted SEI-Authorized CMMI Instructor renewal logs each year. This will ensure that the quality of on-going professional activities submitted continues to meet program requirements.

3. Quality Review and Audit for Course Delivery

Course Participant evaluation forms will be reviewed to evaluate the quality of course delivery. The SEI may perform subsequent random reviews as SEI deems necessary. The SEI may perform audits on any CMMI course delivery while it is being conducted or after it has been conducted.

i. SEI Responsibilities:

In conducting a course audit, the SEI shall, as appropriate:

- Notify the Agreement Partner and/or other SEI Partner(s) and/or the SEI-Authorized CMMI Instructor conducting the course that a course audit is planned,
- Schedule a mutually convenient time for the course audit to begin,
- Perform the course audit at no charge to the Agreement Partner or other SEI Partner(s),
- Provide a written course audit report, requiring corrective or remedial action as appropriate, to the Agreement Partner and/or other SEI Partner(s) and/or the SEI-Authorized CMMI Instructor,
- Within 30 days of receipt, review all responses taken and provided in writing to the SEI as a result of required corrective or remedial actions,
- The SEI will determine whether the corrective or remedial actions taken are satisfactory or unsatisfactory,
- If continued corrective or remedial actions are necessary, additional support services provided by the SEI shall not be at SEI's expense and will be billed in accordance with CMMI Product Suite: Prices at <http://www.sei.cmu.edu/partners/upload/cmmiPrices.pdf>.

ii. Agreement Partner Responsibilities:

If the SEI decides to perform a course audit, the Agreement Partner shall:

- Within 14 days of a course audit notification being sent by the SEI, acknowledge receipt of the audit notification and, if necessary, contact the SEI to schedule a mutually convenient time for the audit to begin. If an on-site audit is not necessary, Agreement Partner shall provide any analyses of corrective or remedial action information requested by the SEI,
- If appropriate, contact the organization for which the course is to be delivered and advise that a course audit is to be performed,
- Complete all corrective or remedial actions required and submit a written report to the SEI within 30 days of receipt of the written course audit report,
- If the initial corrective or remedial actions are not accepted by the SEI, complete all subsequent course audit corrective or remedial action requirements within 30 days of notification, and pay any fees required for the SEI's effort in accordance with CMMI Product Suite: Prices at <http://www.sei.cmu.edu/partners/upload/cmmiPrices.pdf>.

4. Customer Satisfaction Survey

SEI reserves the right to conduct follow up surveys of attendees who have attended Agreement Partner-delivered offerings of the CMMI Product Suite courses.

F. Delivering CMMI Product Suite SCAMPI Appraisal Services

1. General

i. Duplication, Distribution, and Updating of CMMI Product Suite Materials for SCAMPI Appraisal Services

a. Accessing Materials from SEI

The SEI shall provide electronic access to the CMMI Product Suite materials for SCAMPI appraisal services to: the Agreement Partner business point of contact; SEI-Authorized or SEI-Certified SCAMPI Lead Appraisers, SEI-Authorized SCAMPI B&C Team Leaders, and SEI-Certified SCAMPI High Maturity Lead Appraisers; and Authorization Candidates and Certification Candidates. Where electronic copies are not available, hard copies will be provided.

b. 3rd Party Duplication

Agreement Partner may make hard copies of CMMI Product Suite materials for SCAMPI appraisal services to furnish the appraisal team with materials needed to conduct the appraisal. Agreement Partner shall not provide any electronic materials to its clients or customers. Agreement Partner may engage a third party to reproduce such materials as long as 1) the number of copies produced is limited to one copy of the materials per Appraisal Participant, and 2) any copies produced are distributed exclusively to Appraisal Participants.

c. Packaging of Materials

Agreement Partner shall package CMMI Product Suite materials for SCAMPI appraisal services in Agreement Partner-provided packaging with appropriate tabs and labeling.

d. Change Management

SEI shall own and maintain all CMMI Product Suite materials for SCAMPI appraisal services. Agreement Partner and its appraisers are encouraged to submit change requests to the SEI for review.

ii. Usage of Translated Materials

The authoritative source of the CMMI Product Suite materials for SCAMPI appraisal services shall be that written in the English language. Unless an SEI-sanctioned translation of the CMMI Product Suite materials for SCAMPI appraisal services is made available by the SEI, Agreement Partner and SEI-Authorized or SEI-Certified SCAMPI Lead Appraisers, SEI-Authorized B&C Team Leaders and SEI-Certified SCAMPI High Maturity Lead Appraisers are required to use the authoritative source in the delivery of the CMMI Product Suite. Agreement Partner may, however, use the CMMI Product Suite materials for SCAMPI appraisals to create unofficial translations only as long as the SEI has not released an SEI-sanctioned translation in the language of the unofficial translation and if Agreement Partner provides: 1) advance written notification to the SEI of Agreement Partner's intent to create an unofficial translation; 2) a copy of the English language version of the same materials to Appraisal Participants; 3) a copy of the unofficial translation is provided in electronic format to the SEI for posting in a SCAMPI appraisal resource library; and 4) the following notices and disclaimers are displayed on the unofficial translations:

"This translation of Carnegie Mellon University copyrighted material is not an SEI-sanctioned translation.

"This unofficial translation of materials for CMMI Product Suite SCAMPI appraisals was prepared by [insert name of Agreement Partner] under license and special permission by the Software Engineering Institute.

"Neither Carnegie Mellon University nor the Software Engineering Institute directly or indirectly endorses this unofficial translation. Accuracy and interpretation of this translation are the responsibility of [insert name of Agreement Partner]. The SEI has not participated in this translation.

"Materials for CMMI Product Suite SCAMPI appraisals are copyrighted materials of Carnegie Mellon University.

"Except for unofficial translations of materials for CMMI Product Suite SCAMPI appraisals, Agreement Partner is not permitted to develop or distribute unofficial translations of the CMMI Product Suite. If an SEI-sanctioned translation does not exist, an SEI-Authorized or SEI-Certified SCAMPI Lead Appraiser, SEI-Authorized B&C Team Leader or SEI-Certified SCAMPI High Maturity Lead Appraiser or an independent translator may orally translate the

materials as long as the English language version of the SCAMPI appraisal materials is distributed to Appraisal Participants.

"This unofficial translation may be used only as long as SEI has not released an SEI-sanctioned translation in the language of the unofficial translation."

iii. SEI Support

SEI support to Agreement Partner includes the following additional activities:

- Review of appraisal reports returned to the SEI by Agreement Partner, SEI-Authorized or SEI-Certified SCAMPI Lead Appraisers, SEI-Authorized SCAMPI B&C Team Leaders, and SEI-Certified SCAMPI High Maturity Lead Appraisers and feedback as necessary.
- Phone and email support for SEI-Authorized or SEI-Certified SCAMPI Lead Appraisers, SEI-Authorized SCAMPI B&C Team Leaders and SEI-Certified SCAMPI High Maturity Lead Appraisers.
- Annual meeting with Agreement Partner at SEI-selected location to review status and performance data, share experience, and recommend changes.
- Maintenance of CMMI Product Suite materials and distribution of updates.
- Listing of Agreement Partner and its SEI-Authorized or SEI-Certified SCAMPI Lead Appraisers, SEI-Authorized SCAMPI B&C Team Leaders and SEI-Certified SCAMPI High Maturity Lead Appraisers in the SEI Partner Directory.
- Review of Agreement Partner's and SEI-Authorized or SEI-Certified SCAMPI Lead Appraiser's, SEI-Authorized SCAMPI B&C Team Leader's and SEI-Certified SCAMPI High Maturity Lead Appraiser's requests for changes to appraisal materials.

2. Conducting CMMI Product Suite SCAMPI Appraisals

i. Altering CMMI Product Suite SCAMPI Appraisal Materials

Agreement Partner may alter the CMMI Product Suite materials for SCAMPI appraisals only to make minor grammatical corrections or to change spelling to accommodate regional style (such as changing "center" to "centre"). Except for such minor grammatical corrections and regional style accommodations, no other changes are allowed without prior written consent from the SEI.

Agreement Partner may add supplementary, Agreement Partner-provided, material clearly designated as such. Supplementary material shall not a) be used to replace SEI-supplied material for the case study version or b) contain the SEI logo and/or copyright notices.

All SEI-originated instructional materials (printed or otherwise) that are distributed to Course Participants, clients, prospects, and others, must incorporate

1. the SEI logo,
2. the Carnegie Mellon University copyright notice ("Copyright © 20__ by Carnegie Mellon University"), and
3. any related Carnegie Mellon University service or trade marks that appeared on the materials as provided by the SEI.

No other markings that would distinguish such materials from the same items provided by the SEI itself are permitted.

G. Data Submission Requirements

1. Data Submission of SCAMPI Appraisal Reports

Within 30 days of the completion of any SCAMPI appraisal delivered under a CMMI Product Suite License Agreement, Agreement Partner shall ensure that a completed appraisal report is submitted to the SEI at sas-artifacts@sei.cmu.edu.

H. Quality Assurance

1. Pre-Audit Remediation

The SEI reserves the right to require remedial work for SCAMPI Authorization or Certification Candidates pursuing authorization or certification at either or both of the training course or the observation/mentoring stages. Any remedial work for Authorization or Certification Candidates assigned by the SEI must be satisfactorily completed within three months unless otherwise stipulated by the SEI. Any additional SEI support for remedial work will be billed in accordance with CMMI Product Suite: Prices at <http://www.sei.cmu.edu/partners/upload/cmmiPrices.pdf>.

2. SCAMPI Authorized and Certified Individuals Audit Program

All SCAMPI appraisals will undergo a quality review to ensure that the appraisal meets both the requirements described in the Standard CMMI Appraisal Method for Process Improvement (SCAMPI[SM]) A, Version 1.2: Method Definition Document available at <http://www.sei.cmu.edu/library/abstracts/reports/06hb002.cfm> and that they comply with other policies relating to SCAMPI Appraisal Quality located at <http://sei.cmu.edu/cmmi/tools/appraisals/>. The SEI will conduct random audits of SCAMPI appraisals each year. This will ensure that the quality of on-going professional activities submitted continues to meet program requirements.

Audits may range from requests for and analyses of detailed appraisal information to an on-site analysis of the appraised organization's artifacts

3. Quality Review and Audit for Appraisal Delivery

The SEI may perform audits on any SCAMPI appraisal while it is being conducted or after it has been conducted.

i. SEI Responsibilities

In conducting an appraisal audit, the SEI shall, as appropriate:

- Notify the Agreement Partner and/or other SEI Partner(s) and/or the SEI-Authorized or SEI-Certified SCAMPI Lead Appraiser(s) and/or the SEI-Authorized SCAMPI B&C Team Leader(s) and/or the SEI-Certified SCAMPI High Maturity Lead Appraiser(s) conducting the appraisal that an appraisal audit is planned,
- Schedule a mutually convenient time for the appraisal audit to begin,
- Perform the appraisal audit at no charge to the Agreement Partner or other SEI Partner(s),
- Provide a written appraisal audit report, requiring corrective or remedial action as appropriate, to the Agreement Partner and/or other SEI Partner(s) and/or the SEI-Authorized or SEI-Certified SCAMPI Lead Appraiser(s) and/or the SEI-Authorized SCAMPI B&C Team Leader(s) and/or the SEI-Certified SCAMPI High Maturity Lead Appraiser(s),
- Within 30 days of receipt, review all responses taken and provided in writing to the SEI as a result of required corrective or remedial actions,
- The SEI will determine whether the corrective or remedial actions taken are satisfactory or unsatisfactory, the appraisal results will be accepted or rejected by the SEI on that basis and notice of such acceptance or rejection will be provided to the organization undergoing the appraisal and the Agreement Partner and/or other SEI Partner(s) and/or the SEI-Authorized or SEI-Certified SCAMPI Lead Appraiser(s) and/or the SEI-Authorized SCAMPI B&C Team Leader(s) and/or the SEI-Certified SCAMPI High Maturity Lead Appraiser(s),
- If the appraisal results are rejected and the Agreement Partner or other SEI Partner(s) pursue(s) continued corrective or remedial actions in an attempt to gain acceptance of the appraisal by the SEI, the additional support services provided by the SEI shall not be at SEI's expense and will be billed in accordance with CMMI Product Suite: Prices at <http://www.sei.cmu.edu/partners/upload/cmmiPrices.pdf>,
- If the appraisal results are accepted and if requested by the organization undergoing appraisal services, the SEI will publish final appraisal results on the SEI appraisal results website at: sas.sei.cmu.edu/pars/pars.aspx.

ii. Agreement Partner Responsibilities

If the SEI decides to perform an appraisal audit, the Agreement Partner shall:

- Within 14 days of an appraisal audit notification being sent by the SEI, acknowledge receipt of the audit notification and, if necessary, contact the SEI to schedule a mutually convenient time for the audit to begin. If an on-site audit is not necessary, Agreement Partner shall provide any analyses of detailed appraisal information requested by the SEI,
- Contact the organization undergoing appraisal services to advise that an appraisal audit is being performed,
- Complete all corrective or remedial actions required and submit a written report to the SEI within 30 days of receipt of the written appraisal audit report,
- If the initial corrective or remedial actions are not accepted by the SEI, complete all subsequent appraisal audit corrective or remedial action requirements within 30 days of notification, and pay any fees required for the SEI's effort in accordance with CMMI Product Suite: Prices at <http://www.sei.cmu.edu/partners/upload/cmmiPrices.pdf>.

- Notify the SEI if the organization undergoing appraisal services requests that their final appraisal results be published on the SEI appraisal results web site at: sas.sei.cmu.edu/pars/pars.aspx.