CMMI® Certification - Partner-Sponsored Renewal Policy

Purpose

This document describes the process for maintaining Certified CMMI Lead Appraiser (LA) and Certified CMMI Instructor roles.

Scope and Applicability

As of 1 January 2020, this policy replaces Policy #0031 – CMMI Institute-Credentialed Individual Renewal and Recertification Policies – for certification renewal for all ISACA CMMI Partner-Sponsored Certified CMMI LAs and Instructors. All ISACA CMMI Partner-Sponsored Individuals are subject to the requirements of this policy. ISACA CMMI Partner Business Points of Contact (BPOCs) are responsible for maintaining awareness of each certified individual sponsored under their Partner agreement and for ensuring that each individual is working to complete renewal requirements within their three-year renewal cycle.

Partner-Sponsored Individuals must remain in good standing to be eligible for renewal; "good standing" is defined as having no outstanding unpaid invoices, having appropriately submitted all course rosters and appraisal records, and having no Code of Professional Conduct violations. Refer to the [Code of Professional Conduct](#).

In this policy context:

- "Certification" is defined as written assurance (a certificate) provided by ISACA verifying that an individual has met the requirements, e.g., experience, course completion, successful exam completion, to deliver specific CMMI services related to the role, e.g., Certified CMMI Associate, Certified CMMI Professional, Certified CMMI Lead Appraiser, Certified CMMI Instructor.
- "Role" is defined as the position and responsibilities an individual fills when delivering CMMI services, e.g., Appraisal Team Member (ATM), Certified CMMI Instructor, Certified CMMI Lead Appraiser, Registered Interpreter. To serve in a role, an individual must have the relevant credentials and certifications, e.g., an individual must be a Certified CMMI Instructor to deliver a Building Organizational Capability course.
- "Specialization" is defined as a CMMI view area of focus, e.g., Development (DEV), Services (SVC), Supplier Management (SPM), Security (SEC), Safety (SAF), or High Maturity (HM). To deliver CMMI services related to a specialization, the related course(s), exam(s), and certification(s) must be completed. All roles require at least one specialization.

Policy Implementation Detail

All ISACA CMMI Partner-Sponsored certifications are valid for three years. When renewed through the renewal process described in this document, the certification is valid for an additional term of three years. There is no limit to the number of renewals permitted per certification; however, updates to the product suite may require additional action to maintain certification.

Continuing Professional Education (CPE)

ISACA awards one Continuing Professional Education (CPE) credit for each 50-minute increment of active participation (excluding lunches and breaks) for qualifying CMMI-specific renewal activities unless a standardized amount is provided elsewhere in this policy or by ISACA. If being used to meet a CMMI-specific certification goal, renewal credits may only be credited toward an individual's current certification period. Below is a sample graphic for CPE calculation:

Sample Calculation

Educational Activity Schedule	Actual Hours	Minutes
9:00 a.m. – 5:00 p.m.	8.0	480
Less: Two 15-minutes breaks	<.50>	<30>
Less: Lunch — 1 hour	<1.0>	<60>
Total hours of professional education activity	6.5	390

Calculation of CPE Hours

390 minutes divided by 50 minutes = 7.8 or 7.75 reportable CPE hours rounded to the nearest quarter hour.

Maintaining LA and Instructor Certifications - CPE Requirements Overview

Minimum CPE requirements for maintaining one role with one specialization: 120 CPEs. 70 of the 120 CPEs must be satisfied through role-based delivery-specific CPEs from Category I: ISACA CMMI Service Delivery. The remaining 50 CPEs must be earned from Category II: Continuing Education and Community Support. If an individual has two roles, e.g., Certified CMMI LA and Certified CMMI Instructor, some activities for Category II may be submitted for both the CMMI Lead Appraiser and CMMI Instructor role when the renewal activity dates fall within the three-year renewal period of both roles.

Role	Role Maintenance Requirements
Certified CMMI Lead Appraiser	70 CPEs must be earned from delivering appraisals. Refer to Category I: ISACA CMMI Service Delivery 50 CPEs must be earned from Category II: Continuing Education and Community Support - If you have only one specialization, 20 of the 120 total CPEs earned must be view-specific (Category I, Category II, or mixed categories) - If additional view-specific specializations are held, e.g., Development (DEV), Services (SVC), Supplier Management (SPM), etc.; each is maintained by earning 20 additional view-specific CPEs from Category I and/or Category II; the total number of CPEs that the LA is required to earn also increases by 20 - Virtual Solution Delivery (VSD) does not count as a separate specialization for renewal CPE requirements. *Category I and II Activity Tables are in appendices, below

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Certified CMMI Instructor	• 70 CPEs must be earned from delivering official ISACA CMMI courses. Refer to <u>Category I: ISACA CMMI Service Delivery</u> • 50 CPEs must be earned from <u>Category II: Continuing Education and Community Support</u> • If you have only one specialization, 20 of the 120 total CPEs earned must be view-specific (Category I, Category II, or mixed categories) • If additional view-specific specializations are held, e.g., Development (DEV), Services (SVC), Supplier Management (SPM), etc.; each is maintained by earning 20 additional view-specific CPEs from Category I and/or Category II; the total number of CPEs that the Instructor is required to earn also increases by 20 • Virtual Solution Delivery (VSD) does not count as a separate specialization for renewal CPE requirements. *Category I and II Activity Tables are in appendices, below

Maintaining LA and Instructor Certifications - CPE Requirement Specifics

Category I: ISACA CMMI Service Delivery

- ISACA-Certified CMMI Instructors must earn at least 70 Category I CPEs
- ISACA-Certified CMMI Lead Appraisers must earn at least 70 Category I CPEs
- Individuals holding both Certified CMMI Instructor and Certified CMMI LA roles must maintain at least 140 Category I CPEs, with 70 CPEs aligning with instructor services and 70 CPEs aligning with appraisal services
- Each full day a Partner-Sponsored Individual spends instructing an official CMMI course or appraisal delivery during Phase 2 (Conduct Phase) equates to 10 CPEs. The 10 CPE designation covers a full day of delivery and acknowledges time for course/appraisal preparation and post-course/appraisal work
- An appraisal must cover a minimum of six (6) Practice Areas (PAs) in each appraised model domain (DEV, SVC, SPM, etc.), including II and GOV, or must cover all view-specific PAs in each appraised model domain (TS and PI for DEV; SDM, STSM, IRP, and CONT for SVC; etc.) to be eligible to earn CPEs
- An appraisal must be submitted to ISACA within 30 days of its Phase 2 end date to be eligible to earn CPEs

Category II: Continuing Education and Community Support

- At least 50 Category II CPEs are required to maintain a CMMI LA or Instructor certification
- Aside from appraisals led and official CMMI courses delivered, the same earned Category II CPEs may be applied to both Certified CMMI Instructor and Certified CMMI LA roles
- Course students or appraisal team members (ATMs) are awarded eight (8) CPEs/day

Maintaining Specialization Areas with CMMI LA or CMMI Instructor Certification

- One view-specific specialization area, e.g., Development (DEV), Services (SVC), Supplier Management (SPM), etc., is required to hold any CMMI certification
- For each specialization aside from VSD, 20 CPEs of view-specific activity from either Category I or Category II are required to renew
- The 20 view-specific CPEs required to renew the first specialization are included in the total of 120 CPEs required to renew an LA or Instructor role
- For each additional specialization earned apart from VSD, the total CPEs required to renew a role increases by 20; these credits can come from either Category I or Category II

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Submission of Documentation

It is the responsibility of Partner-Sponsored Individuals to maintain a record of activities that will be used as the basis for renewal and to retain appropriate documentation confirming their participation in those activities. ISACA will contact individuals 90 days before their certification period ends to remind them to submit their renewal activities for review if the requirements are not met through ISACA's internal renewal records. Partner-Sponsored Individuals must submit a record of relevant activities to support their renewal requests to ISACA by emailing this information to certification-renewal@cmmiinstitute.com at least 10 days prior to the end of their certification period upon request.

Refer to Appendix A and Appendix B for additional guidance for each type of ISACA CMMI Partner-Sponsored Individual certification.

Renewing Recently Added Specializations

If Partner-Sponsored Individuals add a new view specialization within 12 months of their current certification period's expiration date, additional renewal credits will not be required for that view specialization within that period. Partner-Sponsored Individuals who add new roles more than 12 months before the end of a certification period will need to meet the renewal requirements for the newly added specializations(s).

Requests for Extension

Occasionally, individuals are unable to accrue all their renewal credits by the end of the certification period. In these cases, they may request an extension to complete the credits and renew their certification. To request one extension of up to six (6) months, the Partner-Sponsored Individual must provide a plan that details how the remaining requirements will be accomplished in the extended timeframe (e.g., a scheduled appraisal or course, a conference presentation). This request must be sent to ISACA prior to the end of the certification period; ISACA will review the request and determine if the extension is approved. The sponsoring Partner will be responsible for payment of regular support fees during this extended time.

When Partner-Sponsored Individuals meet their renewal requirements through an extension, the next three-year certification period will be based upon the original renewal date and not the completion of the extension period. Additionally, these activities count only toward the extended certification period; they will not be counted again toward the next certification period.

Appendix A: ISACA CMMI Service Delivery CPE Requirements for Maintaining Partner-Sponsored Roles

Category I: ISACA CMMI Service Delivery	Required CPE Credits
Certified CMMI LA Must meet minimum credit requirements in this category by leading appraisals (may be CMMI Benchmark, Sustainment, or Evaluation Appraisals or V1.3 SCAMPI A, B, or C Appraisals) that have been submitted to and approved by ISACA.	70

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Category I: ISACA CMMI Service Delivery	Required CPE Credits
Certified CMMI Instructor Must meet minimum credit requirements in this category by delivering official ISACA courses that have been submitted to and approved by ISACA.	70

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Appendix B: ISACA CMMI Continuing Education and Community Support: CPE Activity Maximums

Category II: Continuing Education and Community Support	CPE Limit Per Activity
Attend a live offering of an official ISACA course (your attendance must be recorded on the official attendee list).	40
Complete an ISACA eLearning course.	25
Teach an official offering of an ISACA course (if renewing LA certification)	50
Attend or teach a live offering of a non-ISACA course that is CMMI-related (attendees must provide the associated course completion, instructors must provide a course description and an agenda or class roster which includes the instructor).	25
Attend a non-ISACA sponsored process improvement-related conference.	25
Attend an ISACA Conference or Symposium.	25
Attend ISACA CMMI Partner Workshop Sessions.	25
Attend CMMI Upgrade Training.	25
Lead a CMMI appraisal that is formally submitted to ISACA (if renewing Instructor certification)	50
Participate as an ATM on an official appraisal that is formally submitted to and approved by ISACA.	50
Participate in the continuing evolution of CMMI by taking part in ISACA activities (certification development activities, presenting at an ISACA webinar or conference, participating in ISACA working groups, ISACA exam and translation review panels, etc.).	50
Publish a case study of a client organization's adoption efforts with CMMI.	25
Active membership in a standards body or committee that is related to CMMI (credit awarded for one (1) membership).	10
Present at a conference, workshop, or other industry organization on a topic related to CMMI-based performance improvement.	25
Author a published CMMI-based book via a recognized publishing organization.	25
Author a white paper or a published CMMI-related performance improvement article that has been vetted by a recognized authority such as an industry association, peer-reviewed journal, etc.	25
Complete advanced coursework in pursuit of an academic degree in engineering, quality, education, or a field related to a CMMI view.	25
Complete the Annual ISACA CMMI Partner Survey or another ISACA survey collecting Partner input (2 CPEs/survey).	10

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Additional References

- Questions regarding this policy should be submitted via support.isaca.org
- Published Policies are available at cmmiinsitute.com on the policy page: https://cmmiinstitute.com/partners/policies

Revision History

Version Number	Date Published	Date Effective	Changes
V1.2	26 October 2021	15 June 2021	Updated to ISACA branding; Updated CPE language to align with ISACA certification CPE policies; Minor grammar and readability edits
V1.1	30 September 2019	24 April 2019	Updated format & structure.
V1.0	24 April 2019	1 January 2020	Initial release.

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