

Organizational Unit Coordinators

Role, Responsibilities, and Reporting Requirements in the CMMI® Appraisal System

Organizational Unit Coordinators (OUCs) facilitate the smooth delivery of and serve an important role in both Phases 1 (Plan and Prepare) and 2 (Conduct) of a CMMI appraisal. The OUC role carries many responsibilities and as such, the information concerning the OUC must be accurately reported in the CMMI Appraisal System (CAS). This Quality Tip addresses proper reporting standards for OUC information in CAS and aggregates the varied responsibilities and scope of the OUC role as presented in the CMMI Method Definition Document (MDD).

Organizational Unit Coordinator Role and Responsibilities

The MDD defines an OUC as an appraisal role who “handles logistics and provides technical, administrative, and logistical support such as coordinating schedules, notifying participants, arranging facilities and resources, obtaining requested documentation, and arranging catering.” The Appraisal Team Leader (ATL) and Appraisal Sponsor must collaborate to identify an individual within the Organizational Unit (OU) who can effectively perform this role. While the OUC may also be an Appraisal Team Member (ATM), this is discouraged due to the time-consuming nature of both roles. The OUC additionally must be internal to the OU. They may not be from external organizations or consulting companies who have assisted the OU in its performance improvement efforts. For further information regarding the selection of an OUC, refer to MDD section 1.2.4 – Identify Resources, Cost, and Schedule. Unless acting as both the OUC and an ATM for an appraisal, the OUC is a non-voting member of the team and may not participate in characterization, findings, or ratings. Additionally, an OUC’s experience may not count toward experience requirements for the appraisal team. However, the OUC’s participation requires that the OUC be held to the same standards of confidentiality and non-attribution to which ATMs are held.

Reporting Organizational Unit Information in the CMMI Appraisal System

If an OUC is participating on an appraisal, the ATL must search for and select the individual under the ‘Create Appraisal Team’ tab in CAS and assign them the ‘OU Coordinator’ role, unless the OUC is also an ATM. In such case, the ATL must assign the ATM the ‘Appraisal Team Member’ role but should note that the ATM is also the OUC in the ‘Specific Responsibilities’ field on the ‘Team Member Experience and Responsibilities’ tab in CAS. The OUC must sign the Confidentiality and Non-Attribution Agreement in CAS, which requires the ‘OU Coordinator’ or ‘Appraisal Team Member’ system role. Some Lead Appraisers (LAs) have expressed difficulty in locating an OUC in CAS. First, the OUC must register for an account in CAS. If the LA still cannot locate the OUC, then a support request must be submitted via support.isaca.org. LAs are responsible for reporting appraisal results and data objectively, completely, clearly, and accurately per *Practice 3.5 – Information Integrity* of the *CMMI Code of Professional Conduct*

(COPC). Therefore, omission of an OUC from CAS records or inclusion in other fields in CAS, such as the appraisal participants list, would not meet the standards for reporting set forth by ISACA and will be identified and flagged during quality review.

Questions regarding this Quality Tip can be sent to quality@cmmiinstitute.com.