

TMMi Assessor Accreditation Criteria Assessor & Lead Assessor

Version 2.7

Produced by the TMMi Foundation

Editors: Clive Bates, Erik van Veenendaal

Copyright Notice
Unlimited distribution subject to Copyright
Copyright © TMMi Foundation, United Kingdom.

This TMMi Foundation material is furnished on an 'as-is' basis.

The TMMi Foundation makes no warranties of any kind, either expressed or implied, as to any matter included, but not limited to, warranty of fitness for purpose or merchantability, exclusivity, or results obtained from use of the material. The TMMi Foundation does not make any warranty of any kind with respect to freedom from patent, trademark or copyright infringement.

Use of any trademarks in this document is not intended in any way to infringe on the rights of the trademark holder.

Permission to reproduce this document and to prepare derivative works from this document for internal use is granted, provided the copyright and "No Warranty" statements are included with all reproductions and derivative works.

Requests for permission to reproduce this document or prepare derivative works of this document for external and commercial use should be addressed to the TMMi Foundation.

The following registered trademarks and service marks are used in the TMMi Foundation documentation: CMM®, CMMI®, TMMi®, IDEALSM, and SCAMPISM.

CMM and CMMI are registered in the U.S. Patent and Trademark Office by Carnegie Mellon University.

IDEAL and SCAMPI are service marks of Carnegie Mellon University.

TMMi is a registered trademark of TMMi Foundation.

Contributors

Clive Bates (UK)
Andrew Goslin (UK)
Mac Miller (UK)
Fran O'Hara (Ireland)
Klaus Olsen (Denmark)
Meile Posthuma (Netherlands)
Matthias Rasking (Germany)
Geoff Thompson (UK)
Erik van Veenendaal (Bonaire)
Brian Wells (France)
Jinwoo Yoon (South Korea)

Revisions

This section summarizes the key revisions of this document.

This section is provided for information only.

Version	Changes
V2.4	Revised accreditation requirements for assessors and lead assessors over a 36 month period
V2.5	TMMi Assessor accreditation guidance for SCAMPI Appraisers
V2.6	The option for having a waiver is added and briefly described in the appendix
V2.7	Term service providers changed to assessment service provider Chapter added on rules for independent assessors

Contents

1	Introduction	6
2	Accreditation Process	7
2.1	Assessment Methods	7
2.2	Service Providers	7
2.3	Assessors	7
3	Assessor Accreditation Rules & Criteria	8
3.1	General Rules	8
3.2	Assessors	8
3.3	Lead Assessors	9
3.4	Assessor Training Requirements	10
4	Accreditation Appeals Process	11
4.1	Failed Accreditation	11
4.2	Suspended and Revoked Accreditation	11
5	Independent Providers	12
5.1	Independent Assessor	12
5.2	Independent Lead Assessor	12
	Appendix A: Assessment Activities	13
	Appendix B: SCAMPI Appraiser Accreditation	14
	B.1 TMMi Assessor Accreditation Requirements	14
	B.2 TMMi Assessment Requirements	14
	B.3 Appraisal Data Submission	14
	Appendix C: TMMi assessor waiver process	145

1 Introduction

The intended users of this document are Assessment Sponsors, TMMi Assessment Service Providers, service providers' employees or associates, independent assessors who wish to be formally recognized by the TMMi Foundation as Accredited Assessors and Accredited Lead Assessors.

The TMMi Foundation publishes a list of all assessors on its website in order to maintain transparency of the individual assessor's status for customers of TMMi related services, TMMi assessment service providers and the assessor community.

The process for becoming recognized as an assessor and the specific qualification criteria for each assessor role are covered in this publication. Note that the TMMi Foundation reserves the right to revise this process and these criteria at any time.

TMMi Assessors will generally be accredited to perform assessments on behalf of an accredited assessment provider using an accredited assessment method, which is compliant with the Test Maturity Model integration (TMMi), the TMMi Assessment Method Application Requirements (TAMAR) and the TMMi Data Submission Requirements (DSR), subject to the meeting the minimum qualification criteria defined below.

TMMi Assessors are expected to perform assessments objectively, meeting the highest level of professional integrity. Although assessors do not represent the TMMi Foundation, their performance of a TMMi assessment reflects upon the TMMi Foundation, their Assessment Service Provider and themselves. These qualification criteria are intended to ensure that TMMi Assessors are suitably qualified and experienced to perform a TMMi assessment to a consistently high standard ensuring that the assessment findings accurately reflect the organization being assessed.

2 Accreditation Process

The following key requirements must be met in order for an assessor to be recognized by the TMMi Foundation.

- The assessor must use an accredited Assessment Method
- The assessor must meet the respective qualification criteria defined for Accredited Assessors or Accredited Lead Assessors

2.1 Assessment Methods

The TMMi Foundation recognizes accredited assessment methods which meet the requirements defined in TAMAR, the DSR and are compliant with the TMMi. The TMMi Foundation's TMMi Assessment Method (TAM) is accredited to meet these requirements. The TMMi Foundation also accredits third party proprietary assessment methods provided that the assessment method meets these requirements.

For more information refer to the TMMi Foundation website.

2.2 Assessment Service Providers

The TMMi Foundation recognizes accredited Assessment Service Providers, subject to

- Licensing the TMMi Assessment Method (TAM) from the TMMi Foundation, or
- Licensing an accredited proprietary assessment method from a third party, or
- Developing and obtaining accreditation of a proprietary assessment method.

For more information refer to the TMMi Foundation website.

2.3 Assessors

The TMMi Foundation recognizes

- Assessors, and
- Lead Assessors

subject to meeting the specific qualification criteria for each role.

The assessor qualification criteria are grouped as follows:

- Testing experience, requiring the assessor to demonstrate practical testing knowledge and skills evidenced by appropriate certification
- Training and certification, requiring the assessor to demonstrate the required level of technical knowledge of the TMMi and an accredited assessment method (including practical application of this knowledge)
- Assessment experience, requiring the assessor to demonstrate their active participation in (formal and/or informal) assessments as demonstrated by the hours recorded on assessments

Note that credit *may* be granted, at the discretion of the TMMi Foundation, for

- Current assessment experience with other assessment methods and reference models¹
- Current TMMi based process improvement experience¹

Also note that it is sometimes possible in specific situations to receive a waiver for a specific defined criterium. Refer to chapter 7 for more information on the waiver process.

Individuals who do not meet the criteria set out in this document are unaccredited. Unaccredited assessors may participate in assessments subject to the requirements defined in the TMMi Assessment Method Application Requirements (TAMAR) and as defined in the accredited assessment method used.

For more information refer to the TMMi Foundation website.

¹ Supporting documentation and references must be provided for consideration by the TMMi Foundation

3 Assessor Accreditation Rules & Criteria

The TMMi Foundation will, at its sole discretion, accredit or reject Assessor and Lead Assessor applications based on the information provided by the applicant, information provided the applicant's referees and the rules and criteria defined herein.

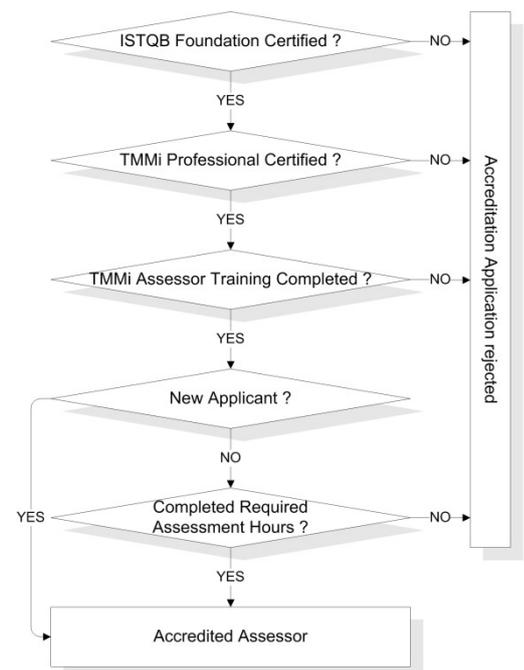
3.1 General Rules

- G01 The assessor's identity number, name, organization and assessor status shall be published on the TMMi Foundation website
- G02 Assessor's accreditation shall be subject to the payment of the relevant accreditation fee
- G03 Assessors shall provide a minimum of two referees who are willing and able to provide independent and confidential references²
- G04 The TMMi Foundation reserves the right to withdraw an assessor's accreditation at any time Assessor accreditation may be suspended or revoked (without prior notice) at the sole discretion of the TMMi Foundation³
- G05 The TMMi Foundation reserves the right to audit any assessor during the performance of any assessment⁴

3.2 Assessors

Assessors are formally accredited to perform assessments and may

- take part in or lead informal assessments
- take part in formal assessments



² The TMMi Foundation may reject an assessor application if an adverse reference is provided, reserving the right to protect the referee's identity

³ The TMMi Foundation shall provide the reason(s) for the suspension or disqualification, including but not limited to any report of dishonesty, professional misconduct or action bringing the TMMi Foundation or any Service Provider into disrepute

⁴ In accordance with TAMAR the Lead Assessor shall notify the TMMi Foundation of each formal assessment prior to commencing the assessment

Testing Experience

EA01 Certified at ISTQB Foundation Level, or equivalent

TMMi Certification and Training

PA01 TMMi Professional certified

PA02 TMMi Assessor or equivalent training completed

Assessment Experience

(based on Assessment Results accepted by the TMMi Foundation)

AA00 New applicants only: No participation in an assessment is required.
AA01 is waived and does not apply for the *first 36 months* as an accredited Assessor.

AA01 A minimum 50 hours participation on (formal or informal) assessments completed in the *past 36 months*

3.3 Lead Assessors

Lead Assessors are formally accredited to perform assessments and may

- take part in or lead informal assessments
- take part in or lead formal assessments

Testing Experience

EL01 Certified at ISTQB Advanced Level - Test Manager or equivalent test management certification

TMMi Certification and Training

PL01 TMMi Professional certified

PL02 TMMi Assessor or equivalent training completed

PL03 TMMi Lead Assessor or equivalent training completed

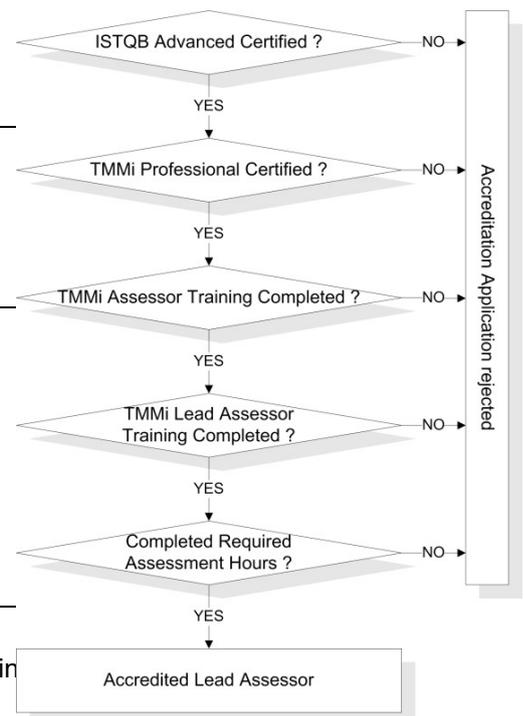
Assessment Experience

(based on Assessment Results accepted by the TMMi Foundation)

AL00 New applicants only: A minimum 75 hours participation on *at least one* (formal or informal) assessment must be completed in the *past 12 months*⁵
AL01 & AL02 are waived and do not apply for the *first 36 months* as an accredited Lead Assessor

AL01 A minimum 225 hours participation on (formal or informal) assessments completed in the *past 36 months*

AL02 Participation in *at least one* (formal or informal) assessment in *each 12 month period* in the *past 36 months*



⁵ A new Lead Assessor application may be completed *at any time*, provided that criteria AL00 & AL03 are satisfied

- AL03 Evidence of participation in *all assessment activities* in accordance with the Assessment Team Leader responsibilities as defined in the TMMi Assessment Method Application Requirements (TAMAR)⁶

3.4 Assessor Training Requirements

3.4.1 Testing Experience

Alternate certification to the ISTQB scheme may be accepted (at the discretion of the TMMi Foundation) provided that the applicant is able to demonstrate that the content of the alternate certification meets or exceeds the relevant ISTQB syllabus requirements. The applicant may be requested to provide additional evidence to support their application using an alternate certification scheme.

3.4.2 Assessor Training

Assessor training should comprise of 15-21 hours instruction, including 8-11 hours practical exercise. Participation in assessments shall be credited towards this requirement. Evidence of the training and assessment experience shall be required.

3.4.3 Lead Assessor Training

Lead Assessor training should comprise of 5-7 hours further instruction, including 3-4 hours practical exercise. Participation in assessments shall be credited towards this requirement. Evidence of the training and assessment experience shall be required.

⁶ See 0 Appendix A: Assessment Activities

4 Accreditation Appeals Process

Appeals may be lodged with the TMMi Foundation in writing, if

- An accreditation application fails, or
- An Assessor or a Lead Assessor is suspended.

If the appeal fails, the TMMi Foundation may grant or refuse further appeals, as may be appropriate and reasonable given the particular circumstances of the appeal.

4.1 Failed Accreditation

The TMMi Foundation shall provide written reasons where the application was deemed not to have met the above criteria such that the assessor may attempt to remedy the issue(s) preventing accreditation.

4.2 Suspended and Revoked Accreditation

The TMMi Foundation shall provide written reasons where the assessor's accreditation has been suspended (as soon as practically possible, but no more than ten (10) working days after applying the suspension) and may request specific actions in order to remedy the issue(s) which led to the suspension.

The assessor shall be granted sixty (60) calendar days from the date of suspension to lodge an appeal. If the assessor is unable to lodge an appeal or remedy the issue(s) which led the suspension within this period, then the TMMi Foundation may grant further leave of appeal at its sole discretion.

If upon appeal, the TMMi Foundation has reached the reasonable judgment that the assessor has acted dishonestly, fraudulently or committed any other act which the TMMi Foundation deems to be incompatible with the duties and trust placed in an accredited assessor the TMMi Foundation may revoke the assessor's accreditation permanently.

5 Independent Providers

Historically all TMMi accredited assessors were affiliated to an accredited Assessment Service Provider (ASP) and through their ASP has access to an accredited TMMi assessment method. The TMMi Foundation will now also allow individuals to achieve assessor status through the completion of relevant training courses and passing of corresponding exams, and be listed as accredited on the TMMi website. Thus the concept of independent assessors has been created.

5.1 Independent Assessor

An independent assessor is a person that complies with the defined assessor criteria but is not affiliated with an accredited TMMi Assessment Service Provider.

An independent assessor has successfully attended a TMMi assessor training and as such understand the TMMi assessment process and requirements as defined in TAMAR. However, an independent assessor typically does not have access to an accredited TMMi assessment method and can use any assessment method that follow the TMMi assessment process. As with any other accredited TMMi assessor, an independent assessor can perform informal TMMi assessments, but cannot perform formal assessments.

Persons that apply to become independent assessor need to comply to the assessor criteria defined in this document and will be listed as follows:

- Assessor ID :
- Name :
- Organization :
- Country :
- Expiry date :

With organization their company name will be listed along with the label independent provider, e.g. “companyXYZ (Independent Provider)”. Upon request of the assessor it is also possible to not list their company name on the TMMi website at their entry. In such case the organization will just be labelled as “Independent Provider”.

The TMMi Foundation shall provide written reasons where the application was deemed not to have met the above criteria such that the assessor may attempt to remedy the issue(s) preventing accreditation.

5.2 Independent Lead Assessor

Building on the previous paragraph, an independent lead assessor is a person that complies with the defined lead assessor criteria, and is not affiliated with an accredited TMMi Assessment Service Provider but has been specially trained in an accredited TMMi assessment method. The independent lead assessor may or may not have access to the accredited TMMi assessment method but will need access to an accredited TMMi assessment method when performing a formal assessment.

Person that apply to become independent lead assessor need to comply to the lead assessor criteria defined in this document and will be listed as follows:

- Lead Assessor ID :
- Name :
- Organization :
- Assessment method :
- Country :
- Expiry date :

With organization their company name will be listed along with the label independent provider and the accredited TMMi assessment method they have been trained in, e.g. “companyXYZ (Independent Provider, TAM)”.

Upon request of the lead assessor it is also possible to not list their company name on the TMMi website at their entry. In such case the organization will just be labelled as “Independent Provider” and mention the TMMi assessment method they have been trained in.

Note, in case an accredited assessor or lead assessor is no longer affiliated with an accredited TMMi Assessment Service Provider, he/she may request to be listed as an independent (lead) assessor following the above for the remainder of the accreditation period.

Appendix A: Assessment Activities

The Assessment Team Leader responsibilities are defined in TAMAR section 3.2.6 Responsibilities and require the participation in all aspects of the assessment.

The TMMi Data Submission Requirements (DSR) describes five types of assessment activities, namely: Planning, Evidence Gathering, Evidence Review, Assessment Reporting and Assessor Reporting. The effort for each activity must be recorded (in hours) for each individual assessor on every assessment.

- **Planning:** The effort required to complete the planning and preparation activities for the assessment.
- **Evidence Gathering:** The effort required to complete evidence gathering activities, including interviews, identifying and obtaining of document artifacts and other evidence.
- **Evidence Review:** The effort required to complete the assessment review activities, including the review of interviews, document artifacts and other evidence to assess the level of compliance with the requirements of the TMMi.
- **Assessment Reporting:** The effort required to complete the assessment report to be submitted to the sponsor, including preparing presentations and reports documenting assessment ratings (for formal assessments only) and the assessment findings, i.e. strengths and weaknesses for each process area in the scope of the assessment.
- **Assessor Reporting:** The effort required (by Assessors and Lead Assessors) to complete the reports on the activities completed by individual assessors and their personal performance over the course of the assessment and any related supervisory activities, e.g. identification of training needs, feedback sessions etc.

Appendix B: SCAMPI Appraiser Accreditation

B.1 TMMi Assessor Accreditation Requirements

SCAMPI Lead Appraisers (CMMI Institute certified and part qualified) may apply for TMMi Lead Assessor or TMMi Assessor accreditation provided that the following criteria are met. Evidence of the relevant certification is required when completing an accreditation application.

TMMi Lead Assessor

- SCAMPI Lead Appraiser Certified⁷
- ISTQB Advanced (Test Manager) certified (or equivalent certification)
- TMMi Professional Certified

TMMi Assessor

- Completion of the SCAMPI Lead Appraiser Certification Examination
- ISTQB Foundation Level certified (or equivalent certification)
- TMMi Professional Certified

Re-accreditation of TMMi accredited SCAMPI Appraisers shall be in accordance with the requirements in section 3 Assessor Accreditation Rules & Criteria, on the provision that the applicant retains SCAMPI Lead Appraiser Certification in lieu of the relevant TMMi assessor training requirements.

B.2 TMMi Assessment Requirements

The TMMi Foundation has not formally accredited the SCAMPI appraisal method for use on TMMi assessments. However, SCAMPI is recognized as a valid method to perform TMMi assessments. The TMMi Foundation will accept assessment results where SCAMPI 1.3⁸ or SCAMPI 1.3b⁹ has been used to conduct the TMMi assessment.

Assessments results where previous versions as SCAMPI have been used will not be accepted.

For more information refer to the CMMI Institute website.

B.2.1 Formal Assessments

SCAMPI appraisal ratings will be accepted, provided that:

1. The appraisal is led by an accredited TMMi Lead Assessor who is also a currently certified SCAMPI Lead appraiser.
2. The appraisal is conducted in compliance with SCAMPI Class A appraisal requirements.

Note: TMMi reference model compliance ratings and appraisal findings are expected in the appraisal report.

B.2.2 Informal Assessments

SCAMPI appraisal findings from an informal assessment will be recognized, provided that

1. The appraisal is led by an accredited TMMi (Lead) Assessor who is also either a currently certified SCAMPI Lead appraiser or has successfully completed the SCAMPI LA Certification Examination in the past 12 months.
2. The appraisal is conducted in compliance with SCAMPI Class B or Class C appraisal requirements.

Note: TMMi reference model compliance appraisal findings are expected in the appraisal report; compliance ratings are *not* expected.

B.3 Appraisal Data Submission

The TMMi Foundation will accept appraisal results, including participation records, submitted using the current published version of the TMMi Assessment Data Submission Form.

⁷ Note: CMMI Institute SCAMPI Lead Appraiser certification requires participation in SCAMPI CMMI appraisals prior to completing certification

⁸ [SCAMPI 1.3] Software Engineering Institute, Standard CMMI Appraisal Method for Process Improvement (SCAMPI) A, Version 1.3: Method Definition Document, March 2011

⁹ [SCAMPI 1.3b] CMMI Institute, Standard CMMI Appraisal Method for Process Improvement (SCAMPI) Version 1.3b: Method Definition Document for SCAMPI A,B, and C, December 2014

Appendix C: TMMi Assessor Waiver Process

Whilst the guidelines defined for accrediting and re-accrediting Lead Assessors and Assessors are clear, there are times when it is possibly and/or necessary to apply a waiver under specific situations. This appendix sets down the process that will allow for a legitimate deviation from the standard criteria.

- 1) When the reviewer of an application feels that a waiver is required to accredit or re-accredit an assessor, in the first instance it is to be discussed with the accreditation chair to agree that consideration for a waiver is justified.
- 2) Once it is agreed a waiver could be appropriate a formal request is written by the reviewer and submitted sent to the chair of accreditation.
- 3) On receipt of the request the accreditation chair will distribute the request by email to the members of the TMMi management executive with a recommendation.
- 4) A majority vote is needed by the TMMi management executive in order to approve the waiver.
- 5) The accreditation chair will formally advise the TMMi management executive of the final decision, and will keep a record of submissions and decisions.