

Purpose and Scope
<p>The purpose of this process is to detail the steps required for observing MDDAP® Lead Appraisers Candidates.</p> <p>The goal of the observation is to confirm the Candidate’s ability to perform the role effectively during the observation and in the future, while receiving expert coaching from an Observer to ensure a successful event for the organization. The planning and execution of the actual event must not be compromised by the Observation activities.</p> <p>The Observer’s primary role is observing, and not participating. The Observer should remain available for questions but should minimize interjecting opinions or judgements to the event participants, e.g., students, appraisal participants. If there is an issue requiring attention, an appropriate action is for the Observer to request a break, and then speak to the Candidate privately.</p> <p>The Observer must use appropriate discretion if there is a valid reason to address the event participants directly, and when deemed appropriate should coordinate first with the Candidate. The Candidate must always remain the focal point for all communication with the organization for which the course or appraisal is being delivered.</p>

Step	What is Done	Role
Phase 1: Identify Observation		
1.	Apply for MDDAP ATL Certification <ul style="list-style-type: none"> Meet pre-requisite criteria and submit application 	Candidate
2.	Complete the MDDAP ATL Training Course <ul style="list-style-type: none"> Purchase and pass the course / assessment. 	Candidate
3.	Accept Observation Assignment <ul style="list-style-type: none"> Fulfillment identifies observation opportunity and send the information to the Candidate and Observer. Candidate and Observer review observation details and accept assignment. 	Fulfillment, Candidate, Observer
4.	Prepare for Observation <ul style="list-style-type: none"> Review the current version of all applicable policies. <i>These items are updated periodically, so you <u>must</u> review frequently and stay informed by checking all monthly newsletters and partner communications. The best practice is to check each time before any delivery to verify you have the latest materials.</i> Review the current version of all Certification Observation materials. Participate in the MDDAP Observer eLearning course. Review the current version of all supporting materials from the MDDAP Observer package. 	Observer

Step	What is Done	Role
5.	Create Statement of Work (SOW) <ul style="list-style-type: none"> Fulfillment sends SOWs (from templates) to Contracts. Contracts send SOWs to Candidate and Observer for signature. Candidate and Observer sign respective SOWs. <p><i>Note: Travel approval may be provided outside of the SOW signing process. Refer to the MDDAP Travel Policy.</i></p>	Fulfillment, Contracts, Candidate, Observer
6.	Receive Purchase Order (PO) <ul style="list-style-type: none"> Fulfillment requests Finance (AP) to create the PO and send to Observer and Candidate. <ul style="list-style-type: none"> Finance (AP) coordinates resolution of PO questions or issues with Fulfillment 	Fulfillment, Finance (AP), Candidate, Observer

Phase 2: Plan Observation		
7.	<p>Establish Communications and Coordinate Observation Activities</p> <ul style="list-style-type: none"> • Candidate and Observer establish meeting schedule to periodically review progress toward observation event and provide opportunity for Observer to provide expert input and feedback. <p><i>Note: At any time during the process, if the Observer has significant quality concerns (e.g., ethical issues arise, Candidate is not able to satisfactorily complete the plan), those must be escalated to ISACA for resolution.</i></p>	Observer, Candidate
8.	<p>Initiate Planning</p> <ul style="list-style-type: none"> • Meet to discuss initial planning and logistics. Address the following as a minimum: <ul style="list-style-type: none"> ◦ <i>If physically on-site</i>, review travel expectations and accommodations ◦ <i>If virtual</i>, inquire about virtual platform use and organizational familiarity/training on the platform. • Candidate provides draft appraisal plan to Observer at agreed upon time. • Observer reviews the plan/schedule and provides written feedback to the Candidate, confirming logistics and verifying planning is comprehensive and activities are not underestimated. Coordinate multiple revisions of the plan/schedule, as needed. • Observer participates in at least one Appraisal Sponsor Meeting. • Observer reviews ATM Training. • Observer participates in at least one Readiness Review session. • Observer provides sampling guidance as appropriate. <p>Observer participation can be virtual. Observer to remind candidate about applicable requirements for observation event, e.g., policies, BOK, M-MDD.</p>	Candidate, Observer

9.	Select Interpreter, when applicable <ul style="list-style-type: none"> • Candidate and Observer coordinate on need and selection of Interpreter. <ul style="list-style-type: none"> ○ If an Interpreter is required, and the language is Chinese, the CMMI Policy: CMMI Registered Interpreter applies, and a CMMI Registered Interpreter is required. ○ If an Interpreter is required, and the language is not Chinese, Candidate and Observer coordinate on qualifications and selection of Interpreter. ○ Consider conducting interviews and practice interpretation activities with several candidates before selection. 	Candidate, Observer, Interpreter
10.	Monitor Planning Progress and Confirm Activities for Observation <ul style="list-style-type: none"> • Monitor overall progress and provide guidance to Candidate on overall timeline for activities, e.g., timeframe for building appraisal plan in CMMI® Appraisal System (CAS). • Ensure planning is progressing in accordance with all applicable policies and requirements, e.g., M-MDD. • Review planning and progress in CAS. • Observer coordinates with the Candidate on which specific activities are being observed, in accordance with the Observer Participation Requirements. 	Candidate, Observer

Phase 3: Conduct Observation		
11.	Arrive Early for Observation Activities <ul style="list-style-type: none"> • <i>If on-site</i>, arrive in advance of the in-person activities. • <i>If virtual</i>, coordinate arrival time with Candidate. • Conduct final meeting with Candidate, prior to live event, if deemed necessary. 	Observer
12.	Deliver Appraisal Activities <ul style="list-style-type: none"> • Explain Observer role and introduce Observer to participants during Appraisal Opening brief. 	Candidate
13.	Observe Activities <ul style="list-style-type: none"> • Observes all appraisal activities. • Meet with the Candidate each day during the main event, e.g., Phase 2: Conduct Appraisal, course delivery, to review progress, discuss strengths and opportunities for improvement. Provide feedback during these daily sessions and throughout all activities. • Working sessions for the Appraisal Team where Appraisal Team Members (ATMs) are annotating or only reviewing notes or artifacts may be sampled by the Observer. • The Observer should minimize stepping out during interviews or Appraisal Team consensus, and the Candidate must debrief the Observer on what was missed immediately following. • Maintain a log of examples and notes throughout all observation activities, for the purposes of completing the Observation Report, and providing supporting rationale or clarification when needed. • The Observer's observation period ends when Phase 3: Report Results ends. 	Observer

Phase 4: Report Observation Outcome		
14.	Complete and Submit Observation Report <ul style="list-style-type: none"> Complete the Candidate Observation Report. Review Candidate Observation Report Form with Candidate prior to finalizing the report and submitting recommendation. Update and finalize report, as appropriate. Submit final report with pass/fail/coaching recommendation within 10 business days of the last observation activity associated with the event. If coaching is selected, a draft coaching plan is proposed by the Observer and included in the observation report. 	Observer
15.	Review Observation Report <ul style="list-style-type: none"> Quality and Fulfillment review report and confirms concurrence with recommendation. Seek consultation or clarification with the Observer as needed. If needed, supplement the report with additional information or decisions. Establish final coaching plan. Proceed as follows: <ul style="list-style-type: none"> If accepting recommendation to <i>certify</i>: Continue with Step 16: Certify Individual If accepting recommendation to <i>not certify</i>: Continue with Step 17: Not Certify Individual If accepting recommendation for coaching: Continue with Step 18: Communicate Coaching to Candidate. 	Quality & Fulfillment
16.	Certify Individual <ul style="list-style-type: none"> Process certification in CAS Proceed to Phase 5: Close-out Observation. 	Fulfillment
17.	<u>Not</u> Certify Individual <ul style="list-style-type: none"> Fulfillment communicates observation outcome to Candidate. Address the following in the communication: <ul style="list-style-type: none"> Required timeframes before another observation attempt. Recommended actions to be completed prior to another observation attempt, e.g., self-study, gain additional ATM experience. If issues identified during observation are egregious, e.g., ethical issues, clearly communicate that it is recommended the Candidate refrain from continuing with the MDDAP Certification pathway. Proceed to Phase 5: Close-out Observation. 	Fulfillment

18.	Communicate Coaching to Candidate <ul style="list-style-type: none"> Quality and Fulfillment defines the final coaching plan based on the recommendations from the Observer and includes that in the observation report. Communicate observation outcome to Candidate, including a copy to Observer. Address the following in the communication: <ul style="list-style-type: none"> Required coaching actions and assignments. Deadlines associated with coaching actions and assignments. Clarify that failure to meet a set deadline is an automatic failure of the coaching work, resulting in a final decision of no certification. Clarify the possible outcomes from the coaching, in accordance with Observation Coaching Parameters and Requirements Request Candidate to acknowledge information and confirm if proceeding with the required coaching work. 	Quality & Fulfillment
19.	Review Coaching <ul style="list-style-type: none"> Coach communicates completion of required actions along with any relevant documentation. Quality and Fulfillment review coaching work. <ul style="list-style-type: none"> If the coaching work is not sufficient, and further coaching actions are necessary, in accordance with Observation Coaching Parameters and Requirements, then proceed to Step 18: Communicate Coaching to Candidate. Coordinate with Observer, if needed. Proceed to Phase 5: Close-out Observation. 	Coach, Candidate, Quality & Fulfillment

Phase 5: Close-out Observation		
20.	Notify Candidate of Outcome <ul style="list-style-type: none"> Send communication to Candidate providing the final result of the observation. 	Fulfillment
21.	Submit Invoice for Observation Activities <ul style="list-style-type: none"> Submit invoice to Accounts Payable (AP) (accountspayable@isaca.org). 	Observer
22.	Approve Expenses and Reimburse Observer <ul style="list-style-type: none"> Obtain approvals for invoice from Fulfillment. Process invoice. Submit reimbursement to Observer. 	Finance (AP)
23.	Send Invoice to Candidate for Observation <ul style="list-style-type: none"> Fulfillment maintains observation details for invoicing. Accounts Receivable (AR) sends invoice to the Candidate approximately 30 days prior to Observation. 	Fulfillment, Finance (AR)
24.	Send Invoice to BPOC for Partner Fees <ul style="list-style-type: none"> Send prorated invoice for Partner Fees, associated with the certification. <p><i>Note: Checked at month end, usually invoiced 1-2 months after observation completion.</i></p>	Finance (AR)