

Purpose and Scope
The purpose of this process is to detail the required steps for observing MDDAP® Lead Appraiser Candidates.

Step	Activities	Role
Phase 1: Identify Observation		
1.	Apply for MDDAP Appraisal Team Leader (ATL) Certification <ul style="list-style-type: none"> Meet pre-requisite criteria and submit the 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 the observation opportunity and sends the information to the Candidate and Observer. Candidate and Observer review observation details and accept the assignment. 	Fulfillment, Candidate, Observer
4.	Create Statement of Work (SOW) <ul style="list-style-type: none"> Fulfillment sends SOWs (from templates) to Contracts. Contracts send SOWs to the 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
5.	Receive Purchase Order (PO) <ul style="list-style-type: none"> Fulfillment requests that Finance (AP) create the PO and send it to the Observer and Candidate: <ul style="list-style-type: none"> Finance (AP) coordinates the resolution of PO questions or issues with Fulfillment. 	Fulfillment, Finance (AP), Candidate, Observer

Phase 2: Plan Observation		
6.	<p>Establish Communications and 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. ○ Remind the Candidate about applicable requirements for the observation event, e.g., policies, course plan templates, or the MDD. 	Observer, Candidate
7.	<p>Coordinate Observation Activities</p> <ul style="list-style-type: none"> • Candidate and Observer establish a meeting schedule to periodically review progress toward the observation event and provide an opportunity for the Observer to deliver expert input and feedback. • Candidate provides draft appraisal plan to the Observer at agreed upon time. • Observer reviews the plan/schedule and provides written feedback to the Candidate, verifying that planning is comprehensive and activities are not underestimated. Coordinate multiple revisions of the plan/schedule as needed. <p><i>Note: At any time during the process, if the Observer has significant quality concerns (e.g., ethical issues arise or the Candidate is not able to satisfactorily complete the plan), they must be escalated to ISACA for resolution.</i></p>	Candidate, Observer
8.	<p>Select Interpreter (When Applicable)</p> <ul style="list-style-type: none"> • Candidate and Observer coordinate on the need for and selection of an Interpreter: <ul style="list-style-type: none"> ○ <i>If an Interpreter is required, and the language is Chinese</i>, the CMMI Policy: CMMI Registered Interpreter applies and a CMMI Registered Interpreter is required. ○ <i>If an Interpreter is required, and the language is not Chinese</i>, the Candidate and Observer coordinate on the qualifications and selection of Interpreter. ○ Consider conducting interviews and practice interpretation activities with several candidates before selection. 	Candidate, Observer, Interpreter

9.	Monitor Planning Progress and Confirm Activities for Observation <ul style="list-style-type: none">• Ensure planning progresses 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
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Phase 3: Conduct Observation		
10.	<p>Arrive Early for Observation Activities</p> <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 the Candidate. • Conduct final meeting with the Candidate, prior to live observation event, if deemed necessary. 	Observer
11.	<p>Observe Activities</p> <ul style="list-style-type: none"> • Perform observation activities in accordance with the Requirements for Observer Participation. • Capture observation notes using the Candidate Observation Report Form. 	Observer

Phase 4: Report Observation Outcome		
12.	<p>Complete and Submit Observation Report</p> <ul style="list-style-type: none"> • Complete the Candidate Observation Report. • Review report with the Candidate. • Update and finalize report as appropriate. • Submit final report with a pass/fail/coaching recommendation within 10 business days of the last observation activity for the event. If coaching is selected, a draft coaching plan is proposed by the Observer and included in the Observation Report. 	Observer
13.	<p>Review Observation Report</p> <ul style="list-style-type: none"> • Quality Governance Team reviews 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 14: Certify Individual. ○ If accepting recommendation to <i>not certify</i>: Continue with Step 15: Not Certify Individual. ○ If accepting recommendation for <i>coaching</i>: Continue with Step 16: Communicate Coaching to Candidate. 	Quality Governance Team
14.	<p>Certify Individual</p> <ul style="list-style-type: none"> • Process certification in CAS: <ul style="list-style-type: none"> ○ Add Certified role(s) for approved domains. ○ Add Certified role for Virtual. • Proceed to Phase 5: Close-out Observation. 	Fulfillment
15.	<p>Not Certify Individual</p> <ul style="list-style-type: none"> • Fulfillment communicates observation outcome to the Candidate. Address the following in the communication: <ul style="list-style-type: none"> ○ Required timeframe before the Candidate can retake the course. ○ Recommended actions to be completed prior to the Candidate retaking course, e.g., self-study or 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

16.	<p>Communicate Coaching to Candidate</p> <ul style="list-style-type: none"> • Quality Governance Team defines the final coaching plan and includes it in the Observation Report. • Communicate the observation outcome to the Candidate and provide a copy to the Observer. Address the following in the communication: <ul style="list-style-type: none"> ○ Clarify the required coaching actions and assignments. ○ Clarify the deadlines associated with the 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 the Candidate acknowledge information and confirm whether they are proceeding with the required coaching work. 	Fulfillment, Quality Governance Team
17.	<p>Review Coaching</p> <ul style="list-style-type: none"> • Coach communicates completion of required actions along with any relevant documentation. • Quality Governance team reviews 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, proceed to Step 16: Communicate Coaching to Candidate. • Coordinate with the Observer if needed. Proceed to Phase 5: Close-out Observation. 	Coach, Candidate, Quality Governance Team, CMMI SME

Phase 5: Close-out Observation		
18.	Notify Candidate of Outcome <ul style="list-style-type: none"> • Send communication to the Candidate that provides the final result of the observation. 	Fulfillment
19.	Submit Invoice for Observation Activities <ul style="list-style-type: none"> • Submit invoice to Accounts Payable (AP) at accountspayable@isaca.org. 	Observer
20.	Approve Expenses and Reimburse Observer <ul style="list-style-type: none"> • Obtain approvals for invoice from Fulfillment. • Process invoice. • Submit reimbursement to the Observer. 	Finance (AP)
21.	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 the observation. 	Fulfillment, Finance (AR)
22.	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><u>Note:</u> These are checked at month's end and usually invoiced 1-2 months after observation completion.</i></p>	Finance (AR)