
IT Services Qualification Center (ITSqc) Code of Professional Practice

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IT Services Qualification Center

Carnegie Mellon University

5000 Forbes Avenue

Pittsburgh, PA 15213-3891

itsqc.cmu.edu



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Information Technology Services Qualification Center (ITSqc)
Carnegie Mellon University
5000 Forbes Avenue
Pittsburgh, PA 15213-3891

itsqc.cmu.edu



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1. Introduction

1.1 Purpose and Goals

The IT Services Qualification Center (ITSqc) developed this Code of Professional Practice to ensure that those who engage in use of the Reference Models and Capability Determination Methods under the stewardship and control of the ITSqc have a clear standard of professional behavior to follow. Acceptance and adherence to this Code of Professional Practice is a requirement for organizations and individuals who are trained and authorized by the ITSqc to use the Models and Capability Determination Methods. This includes Authorized Organizations and the individuals who are authorized by the ITSqc as Authorized Evaluators; Authorized Lead Evaluators; members of eSCM Capability Determination teams, including domain experts and translators who participate as members of eSCM Capability Determination teams; Qualified eSCM Consultants; and Authorized eSCM Instructors.

The goals of this Code of Professional Practice are to:

1. Create a high standard for performance of Evaluations, Self-Appraisals, consulting services, and training services based on the ITSqc's Models and Capability Determination Methods;
2. Support consistent and comparable Evaluations for Certification;
3. Establish practices that preclude conflict of interest situations for Authorized Organizations, Authorized Evaluators, and organizations undergoing a Capability Determination; and
4. Ensure that a documented course of action exists to address any infractions against the provisions of this Code.

1.2 Application of this Code of Professional Practice

This Code of Professional Practice applies to ITSqc staff, as well as all parties listed in Section 1.1 of this document. This Code of Professional Practice describes the behaviors expected of these organizations and individuals, and the consequences, if they should fail to comply with these expectations. This Code of Professional Practice is considered to be complementary to other Codes of Practice and is to be used in association with, rather than instead of, any other Codes of Practice that apply to individuals or organizations (e.g., QS-9000, etc.).

The Code of Professional Practice is expected to be signed and adhered to by all Authorized Organizations, Authorized Evaluators, Authorized Lead Evaluators, Qualified eSCM Consultants, and Authorized Instructors. This Statement of Adherence, shown in Attachment 1, provides a mechanism for ensuring the integrity of the certification process and a means to keep the quality and consistency of Certification Evaluations high.

2 ITSqc Roles and Responsibilities

2.1 Information Technology Services Qualification Center

The Information Technology Services Qualification Center (ITSqc) at Carnegie Mellon University has a mission to address the emerging need for capability models and qualification methods for organizations involved in the evolving global services economy. Capability models, such as the eSourcing Capability Model (eSCM-SP) for Service Providers and eSourcing Capability Model for Client Organizations (eSCM-CL), serve as Reference Models in performing Capability Determinations of organizational qualification.

2.2 Reference Models and Capability Determination Methods

ITSqc's ongoing activities will include Reference Model development and maintenance for the eSCM Reference Models, as well as Capability Determination Method development and maintenance.

The eSourcing Capability Models and other ITSqc frameworks (such as eCommerce and eSecurity) serve as Reference Models for use by organizations whose focus is on continuous improvement and assured quality.

ITSqc will act as the steward for the Reference Models and associated Capability Determination Methods, as well as the certification system. All intellectual property developed within the ITSqc is Carnegie Mellon University-owned intellectual property, regardless of the contributions of members.

ITSqc will provide ongoing support for a certification system to be used in conjunction with selected Reference Models. The Reference Models are copyrighted Carnegie Mellon University material and are to be used in accordance with copyright notices in the materials themselves, as well as with published training and authorization guidelines and procedures.

2.3 Education and Training

ITSqc also supports ongoing education and training activities, focused on executive and professional education, to:

- train service providers and clients about ITSqc's Models and Capability Determination Methods
- train and qualify Authorized Evaluators and Authorized Lead Evaluators
- train and qualify eSCM Consultants
- provide professional education in service management and sourcing management

Current and planned ITSqc training courses include:

- eSourcing Capability Model for Service Providers Course
- eSourcing Capability Model for Client Organizations Course
- eSCM Capability Determination Methods Course

- eSCM Lead Evaluator Course
- eSCM-SP Model Instructor Course
- eSCM-SP Implementation Course

As a research center within the University, ITSqc and its faculty are involved in a number of educational activities across Carnegie Mellon University. Faculty are involved with a number of educational programs at the University, including:

- Master of Software Engineering (MSE) program
- Master of Information Systems Management (MISM) program
- Master of Science in Information Technology (MSIT) programs
- Master of Human-Computer Interaction (MHCI) program
- Information Systems and Software Engineering undergraduate programs

2.4 Authorizing Body

The role of the ITSqc as an authorizing body is to train and qualify evaluators who are authorized to perform the ITSqc's Capability Determination Methods. ITSqc authorizes organizations to provide Capability Determination services as third party evaluators and trains and authorizes individuals as Evaluators and Lead Evaluators. Authorized organizations are discussed in Para 3.1 and the authorization of Evaluators and Lead Evaluators are discussed in Para 3.2.

The ITSqc maintains a repository of personnel training records for Authorized Lead Evaluators, Authorized Evaluators, Candidate Evaluators, Qualified eSCM Consultants, Authorized Instructors, as well as for applicants for these statuses.

2.5 Certification Body

The role of the ITSqc as a certification body is as a third party that certifies the organizational systems and processes of service providers or clients with respect to a published Reference Model. As the certification body, the ITSqc will specify the conditions for granting, maintaining, reducing and extending certification and the conditions under which certification may be suspended or withdrawn.

ITSqc will be responsible for its decisions regarding certification, including the granting, maintaining, renewing, extending, reducing, suspending, and withdrawing of certification.

ITSqc ensures that all Capability Determination teams are provided with up-to-date Capability Determination instructions and all relevant information on certification arrangements and procedures.

The ITSqc will give due notice of any changes it intends to make in its requirements for performing Capability Determinations or for certification. It will take account of views expressed by the interested parties before deciding on the precise form and effective date of the changes.

The ITSqc shall empanel a three member Certification Board, comprised of senior ITSqc staff with experience and authorizations in Capability Determination Methods. The membership will change

periodically. The Board will review all complete Requests for Certification, including the results of each Evaluation for Certification, make a Capability Determination based on this review, and issue a Certificate of Capability. The review may include reviewing documents and/or contacting the organization or Lead Evaluator for clarifications or further information. Certification Board activities leading to a certification decision will be completed within thirty (30) days of the receipt of a complete Capability Determination record.

Certification Board processes ensure:

- impartiality in its deliberations,
- that each decision on certification is taken by persons not involved in performing the Capability Determination,
- that the Board be free from any commercial, financial or other pressures that might influence the outcome or results of the certification process,
- that its activities do not affect the confidentiality, objectivity or impartiality of the certification process, and
- that appropriate mechanisms exist to hear appeals, complaints, or disputes regarding certification or related matters.

As the certification body, ITSqc maintains a record system for its certification activities. The records demonstrate that the certification procedures have been effectively fulfilled, particularly with respect to application forms, Capability Determination reports, and other documents relating to granting, maintaining, extending, reducing, suspending or withdrawing certification. The records are identified, managed and disposed of in such a way as to ensure the integrity of the process and confidentiality of the information. The records are kept for at least two full certification cycles (approximately four years).

As the certification body, ITSqc makes adequate arrangements, consistent with applicable laws and policies, to safeguard confidentiality of the information obtained in the course of its certification activities at all levels of its organization, including the Certification Board and external bodies or individuals acting on its behalf, such as the ITSqc Advisory Board.

As a minimum, all Capability Determination data, including Capability Determination plans, conflict of interest disclosure forms, and Capability Determination records, that are returned to the ITSqc are kept confidential and this information is made available only to Carnegie Mellon University employees who have a need to know associated with their certification or research activities. Capability determination data is reported in industry aggregates with no identification of organizations., other than Capability Determination Disclosure Statement (CDDS) listings of current, withdrawn, or suspended certifications which are published by the ITSqc.

2.6 Research and Publication

As a research center within the University, ITSqc is carrying out a program of research and publications related to its areas of endeavor. ITSqc's current research questions include:

- What are the key capabilities for successful sourcing?
- Can one model apply to a broad set of market sectors and services?
- What are the most effective qualification method(s)?

Other ongoing efforts focus on appropriate measurements for use with the Reference Models, and use of these measures to support model validation.

ITSqc is establishing a repository of data collected from participating organizations. The repository provides status on state-of-the-art practices in IT-enabled outsourcing services, and it may in the future provide clients with information on benchmark capabilities of service providers. It will also be used by ITSqc to make changes, as necessary, to the Reference Models to reflect the dynamic nature of the sourcing industry. ITSqc will make aggregate data from this repository available to the research and business communities.

2.7 Limitations

ITSqc does not perform Full Evaluations for Certification. However, ITSqc staff may observe a Full Evaluation for Certification to ensure compliance, quality, and consistency of results. ITSqc and its Carnegie Mellon staff shall not offer or provide services to obtain or maintain eSCM certification.

ITSqc may perform pilot appraisals and mini-evaluations, as well as audits and observations, as described in paragraph 5.2.

3 ITSqc Authorization

3.1 Organizational Relationships

Authorized Organizations may receive authorization from the ITSqc for one or more of the following services:

- Capability Determination Services
- Training Services

3.1.1 Authorized Organizations for Capability Determination Services

ITSqc will enter into relationships with Authorized Organizations who are authorized by the ITSqc to offer Capability Determination Services based on the Reference Models. Organizations that become Authorized Organizations for Capability Determination Services can sponsor candidate individuals to become Authorized Evaluators and Authorized Lead Evaluators. Only Authorized Organizations may offer eSCM Capability Determination Services.

3.1.1.1 Responsibilities of Authorized Organizations for Capability Determination Services

Authorized Organizations shall:

1. support the initial and on-going training and authorization of at least four professionals who are qualified to be Evaluators, and at least one of these must be qualified and authorized as a Lead Evaluator,
2. demonstrate commitment at the senior management level to quality improvement initiatives,
3. maintain a consistent boundary between professionals who engage in self-appraisal and improvement consulting and those who engage in evaluation and certification efforts so as to systematically prevent conflicts of interest,
4. affirm their willingness to comply with this Code of Professional Practice at all times, and communicate its content to their staff, and
5. agree to assure their own procedures reflect meeting or exceeding the requirements contained herein.

3.1.1.2 Sources of Authorized Organizations for Capability Determination Services

Two types of organizations may become Authorized Organizations who are authorized by the ITSqc to provide eSCM Capability Determination Services:

- Consortium Member Organizations
- Non-member Organizations

3.1.1.2(a) Consortium Member Organizations

Carnegie Mellon has created the ITSqc Consortium involving leading international corporate entities in the development and application of these Capability Models.

Organizations that are Consortium members will receive organizational authorization to perform Capability Determinations for the duration of their membership, as permitted by their Consortium

membership agreements, provided they continue to satisfy the requirements for organizational authorization, which are described in Para.3.1.1.1 above.

3.1.1.2(b) Non-member Organizations

Selected qualified organizations are eligible for organizational authorization to perform Capability Determinations, as long as they meet the criteria in Para.3.1.1.1 above.

When applying to the ITSqc to become an Authorized Organization, organizations that are not Consortium members must demonstrate through their application and supporting materials that they have the capability (or a plan to develop the capability) to field a full Evaluation team (i.e., at least 4 Authorized Evaluators, of which at least one must be an Authorized Lead Evaluator). Organizations that cannot demonstrate this through their internal resources must demonstrate how they will develop this capability through:

- growth to develop sufficient resources to provide Capability Determination services, or
- a proposal describing which other organizations they would work with in order to provide Capability Determination services. This proposal must be substantiated in the form of legally-binding agreement(s) with one or more organizations (Consortium Members or other Authorized Organizations for Capability Determination Services) to ensure that the proposed Authorized Organization can field a fully-qualified, authorized Capability Determination team.

3.1.2 Authorized Organizations for Training Services

ITSqc will enter into relationships with Authorized Organizations who are authorized by the ITSqc to offer Training Services based on the eSCM. Organizations that become Authorized Organizations for Training Services can sponsor candidate individuals to become Authorized Instructors for eSCM-related training courses.

3.1.2.1 Responsibilities of Authorized Organizations for Training Services

The responsibilities of Authorized Organizations for Training Services shall be defined in a future update to this Code. It is expected that Authorized Organizations shall:

1. support the initial and on-going training and authorization of at least two professionals who are qualified to be Authorized Instructors,
2. maintain a consistent boundary between professionals who engage in training or self-appraisal and improvement consulting and those who engage in evaluation and certification efforts so as to systematically prevent conflicts of interest,
3. affirm their willingness to comply with this Code of Professional Practice at all times, and communicate its content to their staff, and
4. agree to assure their own procedures reflect meeting or exceeding the requirements contained herein.

3.1.2.2 Sources of Authorized Organizations for Training Services

Two types of organizations may become Authorized Organizations who are authorized by the ITSqc to provide eSCM Training Services:

- Consortium Member Organizations
- Non-member Organizations

3.1.2.2(a) Consortium Member Organizations

Carnegie Mellon has created the ITSqc Consortium involving leading international corporate entities in the development and application of these Capability Models.

Organizations that are Consortium members can sponsor candidate individuals to become Authorized Instructors for eSCM-related training courses, as permitted by their Consortium membership agreements, provided they continue to satisfy the requirements for organizational authorization, which are described in Para.3.1.2.1 above.

3.1.2.2(b) Non-member Organizations

ITSqc Advisory Board members and selected qualified organizations members can sponsor candidate individuals to become Authorized Instructors for eSCM-related training courses, provided they continue to satisfy the requirements for organizational authorization, which are described in Para.3.1.2.1 above.

3.2 Individual Authorization

The ITSqc operates an Authorization Program for selecting and training evaluators on the basis of their competence, training, qualifications and experience. Individuals may be eligible for authorization as Authorized Evaluators and as Authorized Lead Evaluators. Evaluators shall be employees or agents of Authorized Organizations for Capability Determination Services.

Through this Authorization Program, the highest quality candidates are selected and trained as Authorized Evaluators and as Authorized Lead Evaluators. Individuals who meet the requirements and successfully complete the program become Authorized Evaluators and Authorized Lead Evaluators. They have access to Capability Determination Methods, training materials, technical support, and upgrade training. Through their participation in evaluations, self-appraisals and through feedback mechanisms built into the methods, they participate in the advancement of the Capability Determination process, as well as contributing to ITSqc's understanding of the state of practice in the areas encompassed by the various Reference Models.

3.2.1 Evaluator Authorization

Individuals authorized as an Authorized Evaluator (AE) by the ITSqc must have successfully completed all requirements for authorization. These requirements are shown in Figure 1 on the next page. Authorized Evaluators can serve as Capability Determination team members.

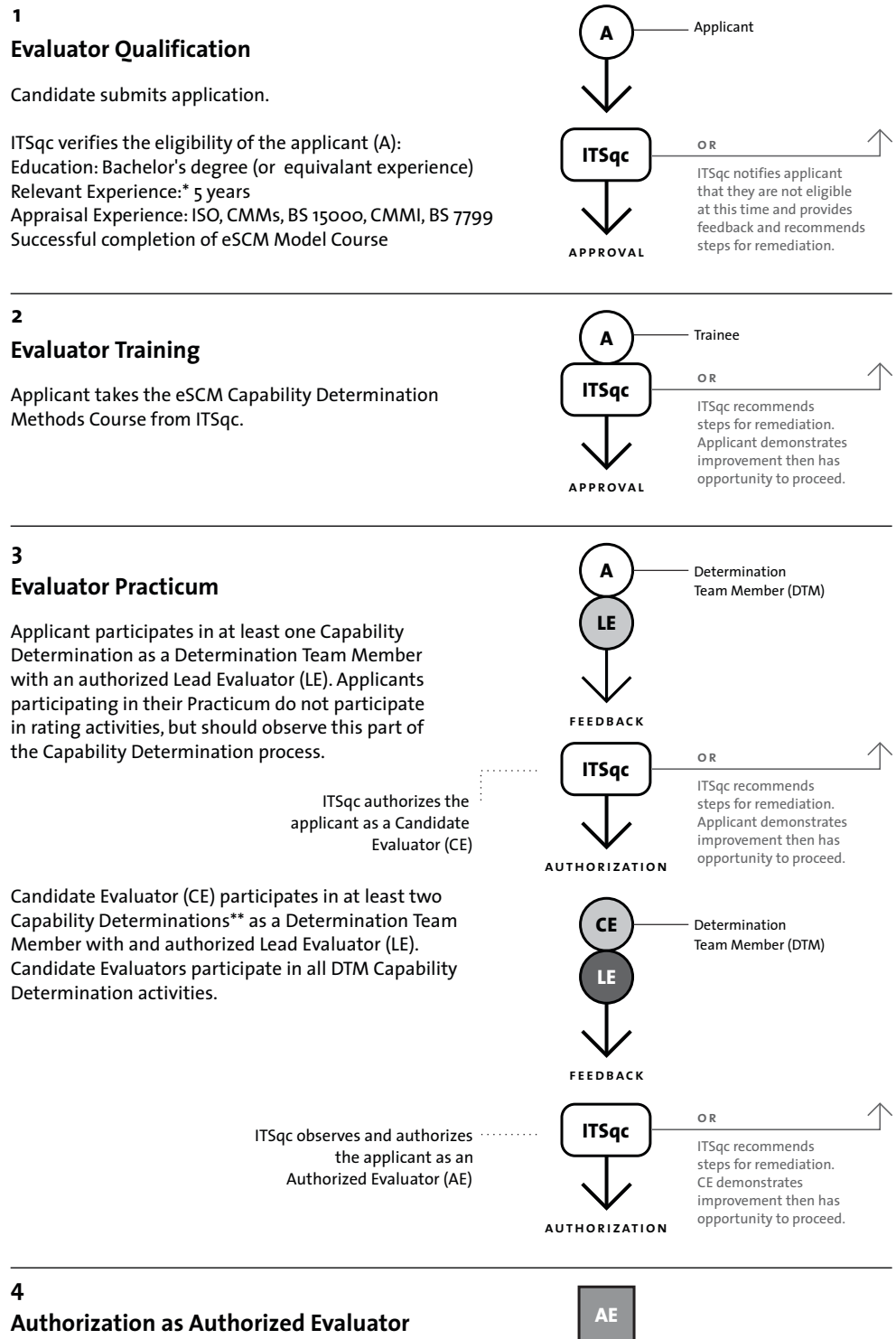
To maintain authorization to participate as a team member in Capability Determinations, Authorized Evaluators must:

- remain employed by an Authorized Organization,
- remain in good standing with the ITSqc,
- be a Capability Determination team member in at least two Capability Determinations per year,
- successfully complete all required refresher training, and
- comply with all ITSqc guidance, regulations, standards, including this Code of Professional Practice, in performing Capability Determinations.

Authorization can be terminated by the ITSqc for:

- lack of compliance with documented ITSqc methods and guidance,

Figure 1
Progression from Applicant
to Authorized Evaluator



*Work related to quality and/or IT-enabled services

**CEs with 10 or more years experience may need to do just one Capability Determination.

- failure to complete the required minimum number of Capability Determinations,
- failure to complete refresher training in Reference Model or Capability Determination Methods in a timely manner,
- no longer being employed by an Authorized Organization,
- quality review of performance by the ITSqc,
- infractions of this Code.

Within twelve months of termination, the authorization may be reinstated at the discretion of the ITSqc. Otherwise, the authorization is revoked and the individual must, as a minimum, successfully complete required Evaluator Training at the normal course rate(s); the ITSqc reserves the right to impose additional requirements for re-authorization depending on the specific circumstances involved. ITSqc may invoice authorization fees for periods of missed payments.

3.2.2 Lead Evaluator Authorization

Individuals authorized as an Authorized Lead Evaluator (LE) by the ITSqc must have successfully completed all requirements for authorization. These requirements are shown in Figure 2 on the next page.

Authorized Lead Evaluators can serve as Capability Determination team members, as well as Determination Team Leaders. Only Authorized Lead Evaluators are permitted to serve as Determination Team Leaders for Evaluations.

An Authorized Lead Evaluator can lead Capability Determinations on behalf of an Authorized Organization per the terms and conditions of the Authorized Organization's agreements with Carnegie Mellon University. Lead Evaluator authorization makes available access to all necessary Capability Determination materials (questionnaires, tools, etc.) and these materials are to be used only in accordance with the Authorization agreements and this Code of Professional Practice.

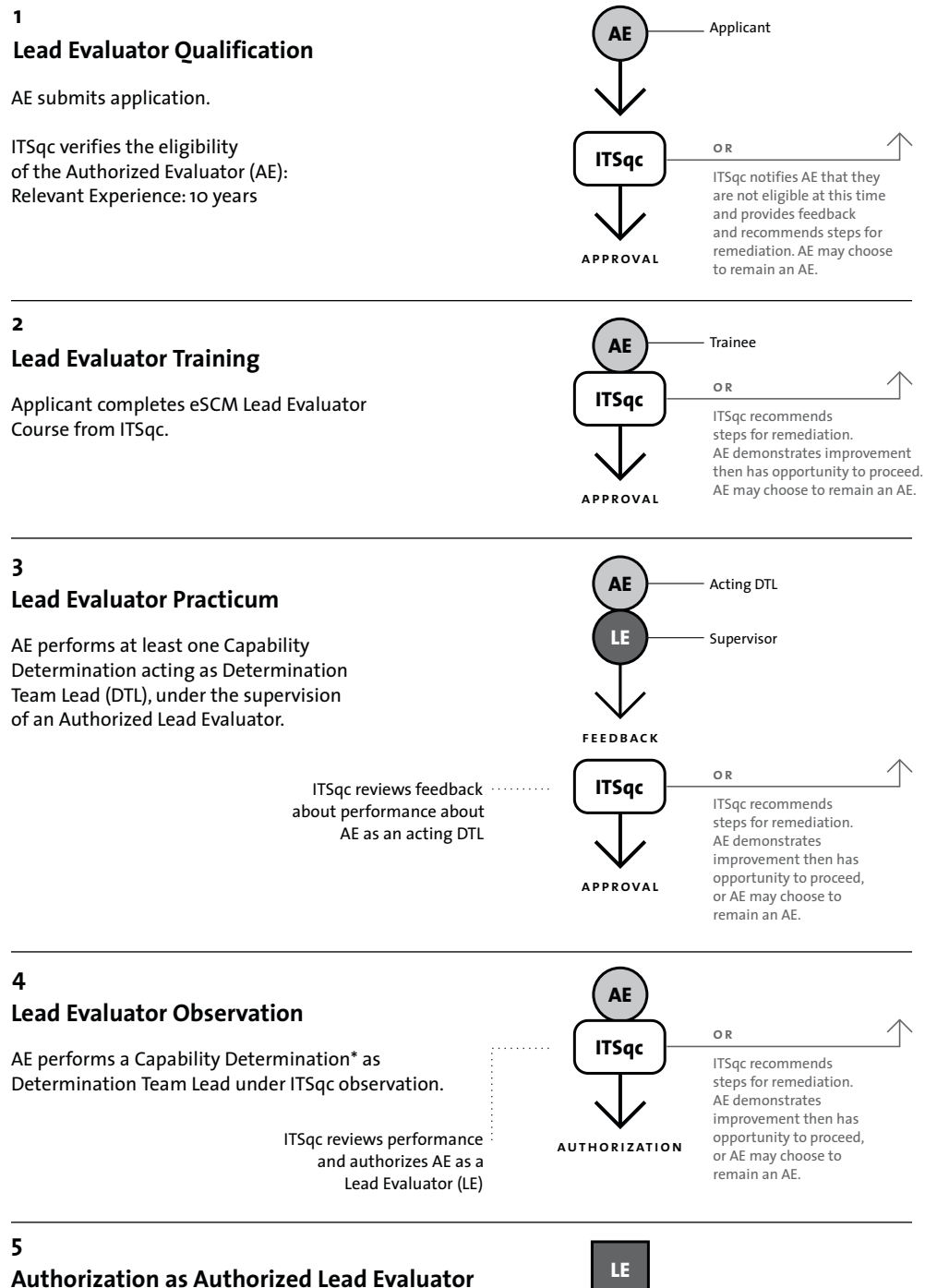
To maintain authorization to lead and conduct Capability Determinations, Authorized Lead Evaluators must:

- remain employed by an Authorized Organization;
- remain in good standing with the ITSqc;
- submit all required Capability Determination planning data, including Conflict of Interest Disclosure Forms for each proposed team member at least 30 days prior to an Evaluation;
- complete at least two Capability Determinations, including one Capability Determination acting as the Determination Team Lead, per year;
- file a complete Capability Determination report with the ITSqc within 30 days of completing the Capability Determinations;
- successfully complete all required refresher training; and
- comply with all ITSqc guidance, regulations, standards, including this Code of Professional Practice, in performing Capability Determinations.

Authorization can be terminated by the ITSqc for:

- lack of compliance with documented ITSqc methods and guidance,
- failure to complete the required minimum number of Capability Determinations,

Figure 2
Progression from Authorized
Evaluator to Lead Evaluator



*Cannot be a Full Evaluation for Certification

- failure to complete refresher training in Reference Model or Capability Determination Methods in a timely manner,
- no longer being employed by an Authorized Organization,
- poor performance during a quality review of performance by the ITSqc,
- infractions of this Code.

Within twelve months of termination, the authorization may be reinstated at the discretion of the ITSqc. Otherwise, the authorization is revoked and the individual must, as a minimum, successfully complete Lead Evaluator Training at the normal course rate; the ITSqc reserves the right to impose additional requirements for re-authorization depending on the specific circumstances involved. ITSqc may invoice authorization fees for periods of missed payments.

3.2.3 Qualified eSCM Consultants

ITSqc supports a personnel qualification program to prepare individuals to become qualified as eSCM implementation specialists. Personal qualification motivates individuals to be involved with eSCM at a personal level. The qualification as a Qualified eSCM Consultant is awarded to those individuals who successfully complete the defined qualification program(s) and ascribe to this Code of Professional Practice.

The purpose of this qualification program is to:

1. Develop individuals who understand the role of quality models in guiding internal process improvement.
2. Develop individuals who have learned how to plan, support, and apply Capability Determination Methods in an organization.
3. Provide knowledge and skills training for external consultants or internal personnel at service providers and client organizations who will apply eSCM.
4. Develop a cadre of highly trained eSCM professionals to support broad transition of the models into practice.

To maintain valid qualification as a Qualified eSCM Consultant, individuals must:

- remain in good standing with the ITSqc, including required reporting and payment of all fees, as required,
- successfully complete all required refresher training, and
- comply with all ITSqc guidance, regulations, standards, including this Code of Professional Practice, in consulting and performing Capability Determinations.

Affiliation with an Authorized Organization for performing Capability Determinations is not required to be designated as a Qualified eSCM Consultant.

The valid qualification as a Qualified eSCM Consultant can be terminated by the ITSqc for:

- lack of compliance with documented ITSqc guidance,
- failure to complete refresher training in Reference Model or Capability Determination Methods in a timely manner,
- infractions of this Code.

Within twelve months of termination, the authorization may be reinstated at the discretion of the ITSqc. Otherwise, the authorization is revoked and the individual must, as a minimum, successfully complete required training at the normal course rate(s); the ITSqc reserves the right to impose additional requirements for re-authorization depending on the specific circumstances involved. ITSqc may invoice authorization fees for periods of missed payments.

3.2.4 Authorized eSCM Instructors

The ITSqc is committed to developing a cadre of Authorized eSCM Instructors who are authorized to deliver selected ITSqc courses.

Individuals may become Authorized eSCM Instructors if they:

- are employed by, and nominated as a candidate Instructor by an Authorized Organization for Training Services,
- successfully complete the defined qualification program(s), and
- ascribe to this Code of Professional Practice.

To maintain authorization as an Instructor, Authorized eSCM Instructors must:

- remain employed by an Authorized Organization,
- remain in good standing with the ITSqc, including required reporting and payment of all fees, as required,
- teach at least two courses per year,
- successfully complete all required refresher training, and
- comply with all ITSqc guidance, regulations, standards, including this Code of Professional Practice, in delivering training.

Authorization can be terminated by the ITSqc for:

- lack of compliance with documented ITSqc methods and guidance,
- failure to complete the required minimum number of courses,
- failure to complete required refresher training in a timely manner,
- no longer employed by an Authorized Organization,
- poor performance during a quality review of performance by the ITSqc, or
- infractions of this Code.

Within twelve months of termination, the authorization may be reinstated at the discretion of the ITSqc. Otherwise, the authorization is revoked and the individual must, as a minimum, successfully complete required training at the normal course rate(s); the ITSqc reserves the right to impose additional requirements for re-authorization depending on the specific circumstances involved. ITSqc may invoice authorization fees for periods of missed payments.

4 Responsibilities in Providing Professional Services

Authorized Organizations, Authorized Lead Evaluators, Authorized Evaluators, members of Capability Determination teams, Qualified eSCM Consultants, Authorized eSCM Instructors, Domain Experts and Translators who provide professional services assume the responsibility to perform such services in an ethical manner with integrity, objectivity, and independence in accordance with the appropriate technical standards and ITSqc guidance. That responsibility is discharged by applying their professional competence acquired through training and experience.

Failure to comply with this Code of Professional Practice, its Code of Professional Ethics, or the Standards for Capability Determination, can result in an investigation into conduct and, ultimately, in appropriate disciplinary measures, including removal of authorization.

4.1 Ethical Conduct

All parties must be ethical and lawful in all of their business dealings. It is essential that the Capability Determination process is established on a basis of high moral conduct and honor. All Capability Determinations will be performed consistent with the Code of Professional Ethics (see Appendix C – Code of Professional Ethics) and the Standards for Capability Determination (see Appendix D – Standards for Capability Determination).

No code of practice can formulate standards of behavior that anticipate every possible circumstance, because rapid changes in our industry constantly present new ethical and legal issues. If you have any questions about interpreting or applying this Code—or about the Code and procedures published by the ITSqc—it is your responsibility to consult your management or the ITSqc.

The purpose of the eSCM certification program is to provide a credible, independent, and reliable way to determine compliance with the eSCM Models. The overall aim of third-party certification, such as eSCM Capability Determinations, is to give confidence to all parties that rely on certification. Key principles for inspiring confidence are impartiality and competence both in action and appearance. Any personnel who could influence the certification activities shall act impartially and shall not allow commercial, financial or other pressures to compromise impartiality.

Threats to impartiality and independence of third party evaluators and members of the Certification Board are sources of potential bias that may compromise, or may reasonably be expected to compromise, an individual's ability to make unbiased decisions. Because threats may, or may reasonably be expected to, compromise an individual's ability to make unbiased decisions, the ITSqc has identified and analyzed the effects of threats that are sources of potential bias.

Threats are posed by various types of activities, relationships, and other circumstances. In order to understand the nature of those threats and their potential impact on impartiality, independence, or potential biases in the certification process, the ITSqc has identified the types of threats posed by specific activities, relationships or other circumstances. The following list provides examples of the types of threats that may create pressures and other factors that can lead to biased decisions. Although the list is not mutually exclusive or exhaustive, it illustrates the wide variety of types of threat that should be addressed to ensure independence and lack of bias in the certification process. These threats include, but are not limited to:

- Financial Involvement with, or in the Affairs of, Clients – see paragraph 4.2 below
- Appointments in Companies - see paragraph 4.2 below
- Provision of Other Services to Clients of the Authorized Organization - see paragraphs 4.2 and 4.6, including paragraph 4.6.2, below
- Personal and Family Relationships - see paragraph 4.2 below
- Ethical conflicts / conflicts of interest – see paragraph 4.6 below
- Fees, including Contingency Fees - see paragraph 4.2 below
- Gifts and bribes – see paragraph. 4.6.4 below

4.2 Integrity, Objectivity, and Independence

Authorized Organizations, Authorized Lead Evaluators, and Authorized Evaluators should be and appear to be free of any interest which might be regarded, whatever its actual effect, as being incompatible with integrity, objectivity and independence. Integrity implies not merely honesty but fair dealing and truthfulness. The principle of objectivity imposes the obligation on all Authorized Organizations and Authorized Evaluators to be fair, intellectually honest and free of conflicts of interest. In providing professional services, they may be exposed to situations which involve the possibility of pressures being exerted on them. These pressures may impair or may be seen as impairing their objectivity.

It is impracticable to define and prescribe all such situations where these possible pressures exist. Reasonableness should prevail in establishing relationships that are likely to, or appear to, impair objectivity. Relationships should be avoided which allow prejudice, bias or influences of others to override objectivity.

Authorized organizations have an obligation to ensure that personnel engaged on professional services adhere to the principle of objectivity.

Authorized organizations and Authorized Evaluators should avoid circumstances which would bring their professional standing into disrepute or which might reasonably be believed to have a significant and improper influence on their professional judgment.

Authorized Organizations and Authorized Evaluators must avoid those situations which, because of the actual or apparent lack of independence, would give a reasonable observer grounds for doubting the independence of the Authorized Organizations or Authorized Evaluators. These types of situations include, but are not limited to:

- Financial Involvement with, or in the Affairs of, Clients - Financial involvement with a client affects independence and may lead a reasonable observer to conclude that it has been impaired.
- Appointments in Companies - When Authorized Evaluators are or were, within the period under current review or immediately preceding an assignment either (a) a member of the board, an officer or employee of a company; or (b) a partner of, or in the employment of, a member of the board or an officer or employee of a company; they would be regarded as having an interest which could detract from independence when performing a Capability Determination within that company.

- **Provision of Other Services to Clients of the Authorized Organization** - When Authorized Organizations and Authorized Evaluators, in addition to carrying out a Capability Determination for evaluation, are or were providing, within the period under current review or immediately preceding, other services to their clients, such as improvement consulting or self-appraisal support, care should be taken not to utilize the same personnel to accomplish both services. Similarly, those Authorized Evaluators who have carried out a Capability Determination for Evaluation should not later provide these other services to the same clients. The use of the same personnel on an Evaluation for Certification engagement may pose a threat to independence. The Authorized Organization and each Authorized Evaluator should take steps to ensure that objectivity and independence are maintained on each engagement.
- **Personal and Family Relationships** - Personal and family relationships can affect independence. There is a particular need to ensure that an independent approach to practice is not endangered as a consequence of any personal or family relationship.
- **Fees** - When the receipt of recurring fees from a client or group of connected clients, represents a large proportion of the total gross fees of an Authorized Organization, the dependence on that client or group of clients should inevitably come under scrutiny and could raise doubts as to independence.
- **Contingency Fees** - Authorized Organization and each Authorized Evaluator should not offer or render professional services to a client under an arrangement whereby no fee will be charged unless a specified finding or result is obtained, or when the fee is otherwise contingent upon the findings or results of such services.

4.3 Professional Competence

Authorized Lead Evaluators, Authorized Evaluators, Qualified eSCM Consultants, and Authorized Instructors must complete ITSqc-provided training to standards established by the ITSqc and demonstrate professional competence in appropriate Reference Model(s) and Capability Determination Method(s).

Professional competence may be divided into two separate phases:

1. **Attainment of professional competence** - The attainment of professional competence requires initially a high standard of general education followed by specific education, training and examination in professionally relevant subjects, and whether prescribed or not, a period of work experience.
2. **Maintenance of professional competence** - The maintenance of professional competence requires a continuing awareness of relevant developments, including updates to the Reference Models and Capability Determination Methods.

4.3.1 Professional Competence and Responsibilities Regarding Evaluators, Lead Evaluators, and Consultants

Each Authorized Lead Evaluator, Authorized Evaluator, and Qualified Consultant is responsible for maintaining competence and currency in Reference Models and methods covered by their authorization.

With each release of an update to the Reference Model or Capability Determination Methods, evaluators and consultants may be required to complete refresher training. Additionally, evaluators

and consultants are encouraged to attend workshops and conferences, present results of their evaluation experiences, and publish as appropriate to increase their own competence and add to the body of knowledge regarding the Reference Models and associated Capability Determination Methods.

Following a decision on, and publication of, the changed Reference Model requirements or changed Capability Determination Method requirements, the ITSqc shall verify that each Authorized Organization and Authorized Evaluator carries out any necessary adjustments to its procedures within such time as, in the opinion of the ITSqc, is reasonable. Failure to comply shall be grounds for revoking authorization.

4.3.2 Professional Competence and Responsibilities Regarding the Use of Domain Experts

Authorized Organizations and Authorized Evaluators should refrain from agreeing to perform professional services which they are not competent to carry out unless competent advice and assistance is obtained so as to enable them to satisfactorily perform such services. If an Authorized Organization or Authorized Evaluator does not have the competence to perform a specific part of the professional service, technical advice may be sought from an appropriate domain expert. The use of such domain experts in Capability Determination is allowed under the defined Capability Determination Methods.

In such situations, although the Authorized Organization and Authorized Evaluator are relying on the technical competence of the expert, the knowledge of the ethical requirements cannot be automatically assumed. Since the ultimate responsibility for the professional service rests with the Authorized Organization and Evaluators, the Authorized Organization and Authorized Lead Evaluator should see that the requirements of this Code of Professional Practice are followed.

When using the services of experts who are not Authorized Evaluators, Authorized Organizations and Authorized Lead Evaluators must take steps to see that such experts are aware of ethical requirements. These ethical requirements would extend to any assignment in which such experts would participate.

The amount of guidance that will be needed by an expert will depend upon the individuals involved and the nature of the engagement. Authorized Organizations and Evaluators are expected to:

- ask individuals to read the appropriate ethical requirements, including this Code of Professional Practice,
- require written confirmation of compliance with and understanding of the ethical requirements from the domain expert, and
- provide consultation when potential conflicts arise.

Authorized Organizations and Authorized Lead Evaluators should also obtain agreement from the domain expert that they will comply with applicable policies, procedures, and Capability Determination Methods, as defined by ITSqc. This agreement must address confidentiality and independence from commercial or other interests. The domain expert must demonstrate independence from the organization being evaluated. To do so, the domain expert must complete a Conflict of Interest Disclosure Form, which must be submitted along with the Conflict of Interest Disclosure Forms for each proposed team member at least 30 days prior to an Evaluation.

Authorized Organizations and Authorized Lead Evaluators should also be alert to specific conflict of interest requirements or other risks unique to the engagement. Such situations will require special attention and guidance/supervision to see that ethical requirements are met.

If at any time the Authorized Organizations and Authorized Evaluators are not satisfied that proper ethical behavior can be respected or assured, the engagement should not be accepted; or, if the engagement has commenced, it should be terminated.

4.3.3 Professional Competence and Responsibilities Regarding the Use of Translators

Authorized Organizations and Authorized Evaluators should refrain from agreeing to perform professional services which they are not competent to carry out unless competent advice and assistance is obtained so as to enable them to satisfactorily perform such services. If a planned Capability Determination team does not have the language capabilities to perform a specific part of the professional service, translation and/or interpretation support may be sought from an appropriate translator.

The use of such translators in Capability Determination is allowed under the defined Capability Determination Methods. In these situations, the Lead Evaluator may propose the use of a translator in the required Capability Determination planning data. Translators should be used in support of questionnaire administration, document and artifact review, interviews and observations, and presentation of Preliminary Findings by the Capability Determination team.

In such situations, although the Authorized Organization and Authorized Evaluator are relying on the language competence of the expert, the knowledge of the ethical requirements cannot be automatically assumed. Since the ultimate responsibility for the professional service rests with the Authorized Organization and Evaluators, the Authorized Organization and Authorized Lead Evaluator should see that the requirements of this Code of Professional Practice are followed. In addition, the translator must be employed by the Authorized Organization, and not by the sponsor of the Capability Determination or by the organization being evaluated. The translator must demonstrate independence from the organization being evaluated. To do so, the translator must complete a Conflict of Interest Disclosure Form, which must be submitted along with the Conflict of Interest Disclosure Forms for each proposed team member at least 30 days prior to an Evaluation.

When using the services of translators who are not Authorized Evaluators, Authorized Organizations and Authorized Lead Evaluators must take steps to see that such translators are aware of ethical requirements. These ethical requirements would extend to any assignment in which such translators would participate.

The amount of guidance that will be needed by a translator will depend upon the individuals involved and the nature of the engagement. Authorized Organizations and Evaluators are expected to:

- ask individuals to read the appropriate ethical requirements, including this Code of Professional Practice,
- require written confirmation of compliance with, and understanding of, the ethical requirements from the domain expert, and
- provide consultation when potential conflicts arise.

Authorized Organizations and Authorized Lead Evaluators should also be alert to specific conflict of interest requirements or other risks unique to the Capability Determination. Such situations will require special attention and guidance/supervision to see that ethical requirements are met.

If at any time the Authorized Organizations and Authorized Evaluators are not satisfied that proper ethical behavior can be respected or assured, the engagement should not be accepted; or, if the engagement has commenced, it should be terminated.

4.4 Confidentiality

Employed professionals have an obligation to respect the confidentiality of information about a client's or employer's affairs acquired in the course of professional services. The duty of confidentiality continues even after the end of the relationship between the employed professionals and the client or employer.

Confidentiality should always be observed by employed professionals unless specific authority has been given to disclose information or there is a legal or professional duty to disclose.

Employed professionals have an obligation to ensure that staff under their control and persons from whom advice and assistance is obtained respect the principle of confidentiality.

Confidentiality is not only a matter of disclosure of information. It also requires that employed professionals acquiring information in the course of performing professional services neither use nor appear to use that information for personal advantage or for the advantage of a third party.

Authorized Evaluators have access to confidential information about a client's or employer's affairs not otherwise disclosed to the public. Therefore, the Authorized Evaluator should be relied upon not to make unauthorized disclosures to other persons. This does not apply to disclosure of such information in order to properly discharge the Authorized Evaluator's responsibility according to this Code of Professional Practice or other relevant professional standards.

It is in the interest of the public and the profession that the profession's standards relating to confidentiality be defined and guidance given on the nature and extent of the duty of confidentiality and the circumstances in which disclosure of information acquired during the course of providing professional services shall be permitted or required.

It should be recognized, however, that confidentiality of information may be part of national or local statutes or common law and, therefore, detailed ethical requirements regarding confidentiality of information may depend on the law of the country where professional services are rendered.

Authorized Organizations shall take all necessary actions to:

- Prevent improper disclosure of information obtained from clients while undertaking professional services.
- Implement effective procedures for employed staff, subcontracted, or other external resource, and utilized by the Authorized Organization, that assures all reasonable actions are taken to protect client confidentiality.

Participation in Capability Determination activities may give Authorized Organizations, Authorized Lead Evaluators, and Authorized Evaluators access to information that is proprietary, should be held in confidence, and whose sources should not be identified or attributed. For this reason, Authorized Organizations, Authorized Lead Evaluators, and Authorized Evaluators may not quote, copy, or otherwise use or disclose to anyone any information that they receive in the course of a Capability Determination, except as required or allowed by the ITSqc, legal action, or as allowed by the appropriate sponsor and/or organization.

If participation in Capability Determination activities gives access to information not generally available to the public, Authorized Organizations, Authorized Lead Evaluators, and Authorized Evaluators must not use that information for their personal benefit or make it available for the personal benefit of any other individual or organization.

4.5 Ethical Conflicts

Each individual or organization shall avoid actual conflicts of interest, as well as any appearance of impropriety.

4.5.1 Conflict of Interest

The certification environment involves a number of activities which, in the absence of clear guidelines, can easily result in conflict of interest, (e.g. consultancy and training). Evaluators are expected to exercise sound professional judgment in accepting an evaluation engagement. It is incumbent on all Authorized Organizations and Authorized Evaluators to eliminate all conflict of interest situations in the interests of maintaining integrity in the Certification process.

Authorized Lead Evaluators and Authorized Evaluators are expected to maintain objectivity, impartiality, and independence in conducting Capability Determinations in order to assure the integrity of the results of the Capability Determination.

Situations where the integrity of a Capability Determination is called into question, either by the behavior of an Evaluator or the Organizational Unit, may be brought to the attention of ITSqc for review.

Situations where Evaluators have a personal stake in the outcome, either by prior or current association or other circumstance, are considered inappropriate and may call into question the integrity of evaluation results.

Evaluators are expected to exclude themselves from serving as Lead Evaluators or team members for any organization where they have been involved in an improvement effort in the past 36 months. In general, Authorized Organizations who provide professional services (including self-appraisal services or improvement or consulting or training efforts directly related to the Reference Model) for an organizational unit may not engage in an evaluation of that organizational unit, regardless of whether the evaluation is sponsored by that service provider or by a client considering that service provider, until at least 36 months has elapsed since the conclusion of those professional services.

Authorized Organizations who offer both evaluation and professional services (and have provided self-appraisal services or improvement or consulting or training efforts directly related to the Reference Model to an organizational unit within 36 months) must provide these evaluation and consulting/self-appraisal services to any organizational unit seeking to be evaluated through a clear division of staff responsibility for staff working with the given organizational unit.

No individual who has participated as an appraisal team member in a self-appraisal or has been involved in improvement, consulting, or training efforts directly related to the Reference Model for an organizational unit may take part in an evaluation of that organizational unit, regardless of whether the evaluation is sponsored by that service provider or by a client considering that service provider, until at least 36 months has elapsed since the conclusion of those professional services. The only allowable exception to this prior contact disqualification is that evaluator may participate in a Capability Determination in the same organization that they participated in an ITSqc-supervised pilot self-appraisal within the previous 36 month period.

4.5.1.1 Authorized Lead Evaluators

Authorized Lead Evaluators are expected to exercise sound professional judgment in accepting engagements and performing Capability Determinations. Authorized Lead Evaluators shall not

engage in improvement efforts or improvement consulting related to the Reference Model for organizational units they evaluate 36 months prior to or following the evaluation.

4.5.1.2 Authorized Evaluators

Authorized Evaluators are expected to exclude themselves from serving as Determination Team Lead or evaluation team member for any organizational unit where they have had any involvement in any improvement effort or improvement consulting related to the Reference Model during the 36 months preceding the evaluation.

Evaluators are expected to exclude themselves from serving as Determination Team Lead or evaluation team member for any organizational unit where they have performed a self-appraisal during the 36 months preceding the planned evaluation.

Also, Evaluators may not engage in improvement efforts for organizations they have evaluated until at least 36 months have elapsed since the conclusion of the Evaluation (i.e., the date of the certification action by the ITSqc Certification Board).

4.5.2 Allowable Activities

Authorized Organizations, Authorized Lead Evaluators and Authorized Evaluators may carry out the following activities without necessarily creating a conflict of interest. These allowable activities are:

- a. performing eSCM Capability Determination Methods, including information meetings with the organization, planning meetings, examination of guidance and implementation documents, interviews, observations and demonstrations; and follow-up of nonconformities, as long as these activities do not violate the conflict of interest requirements in Section 4.5.1;
- b. arranging and participating in public training courses, provided that these courses confine themselves to general information and advice which is freely available in the public domain, and does not provide specific advice or consultancy;
- c. performing activities prior to a Capability Determination aimed solely at determining readiness for Evaluation for Certification (e.g., site coordinator identified, document mapping complete, Capability Determination Agreement (CDA) and plan approved), as long as such activities do not provide specific improvement advice or consultancy (e.g., assessment of process readiness); and
- d. performing second or third party audits according to other standards or regulations than the eSCM being used in a Capability Determination.

4.5.3 Conflict of Interest Disclosure

Each proposed member of a Capability Determination team is required to submit, in a signed, sealed envelope, a Conflict of Interest Disclosure Form (see Attachment 2) completed with respect to the proposed Capability Determination. In this document, they commit themselves to comply with the rules defined in this Code, including those relating to confidentiality and those relating to independence from commercial and other interests, and any prior and/or present link with the companies to be evaluated or assessed.

Appraisers acknowledge that they must respond to a series of conflict of interest questions on each set of documentation submitted for an appraisal or evaluation. Any conflicts noted will be treated as a possible infraction.

The Determination Team Lead is required to submit, along with their evaluation plan, the Conflict of Interest Disclosure Forms (see Attachment 2) completed by each potential evaluation team

member. These Disclosures will be reviewed by Carnegie Mellon University, and approval of the proposed team composition will be provided by the ITSqc to the Determination Team Lead.

4.5.4 Gifts and Bribes

Gifts offered by employees of different companies or in different cultures vary widely. They can range from widely distributed advertising novelties of nominal value, which you may give or accept, to bribes, which you unquestionably may not give or accept. Gifts include not only material goods, but also services, promotional premiums and discounts.

The following are ITSqc's guidelines on giving and receiving gifts and business amenities.

- You may offer, give or accept customary gifts, amenities, gratuities, and other perks, such as meals and entertainment, as long as they:
 - are not prohibited by law or known business practice,
 - exchanged within the bounds of your Client's national or organizational cultures or organizational policy, and
 - do not influence your objectivity, or create the appearance of a lack of objectivity.
- Neither you nor any member of your family may solicit or accept from any organization money or a gift that could influence or could reasonably give the appearance of influencing your business relationship with that organization, or that could impact your objectivity, impartiality, and independence in conducting Capability Determinations in order to assure the integrity of the results of the Capability Determination or certification.

Customary and reasonable commercial fees and expenses to compensate an Authorized Organization for conducting a Capability Determination are not considered gifts or bribes and are addressed elsewhere; see Fees and Contingency Fees in paragraph 4.2. However, these may be subject to ITSqc scrutiny if an investigation is triggered (see paragraphs 4.5.5 and 5.3 below).

4.5.5 Resolution of Ethical Conflicts

Authorized Organizations and Evaluators should be constantly conscious of and be alert to factors which give rise to conflicts of interest. It should be noted that an honest difference of opinion between an Evaluator and another party is not in itself an ethical issue. However, the facts and circumstances of each case need investigation by the parties concerned.

In applying standards of ethical conduct, professionals may encounter problems in identifying unethical behavior or in resolving an ethical conflict. When faced with significant ethical issues, professionals should follow the established policies of the employing organization as well as this Code of Professional Ethics to seek a resolution of such conflict.

Furthermore, in some countries local laws, regulations, or professional standards may require certain serious matters to be reported to an external body such as an enforcement or supervisory authority.

4.6 Advertising, Marketing, Solicitation and Promotion

4.6.1 General Requirements

When used, advertising, marketing, and solicitation should be aimed at informing the public in an objective manner and should be decent, honest, truthful and in good taste. Solicitation by the use of coercion or harassment should be prohibited.

Examples of activities which may be considered not to meet the above criteria include those that:

- a. create false, deceptive or unjustified expectations of favorable results;
- b. imply the ability to influence any court, tribunal, regulatory agency or similar body or official;
- c. consist of self-laudatory statements that are not based on verifiable facts;
- d. use means which brings the profession into disrepute;
- e. contain any representations that would be likely to cause a reasonable person to misunderstand or be deceived;
- f. make unjustified claims to be an expert or specialist, including unjustified claims regarding Authorization from the authorizing body or regarding Certification from the certifying body;
- g. make exaggerated claims for the services they are able to offer, the qualifications they possess, or experience they have gained; and
- h. make comparisons with other professionals in practice or denigrate the work of other companies, Authorized Organizations, or Authorized Evaluators.

4.6.2 Appropriate Use of Certificates, Certification Mark and Logos

The ITSqc shall exercise proper control over ownership, use and display of its certificates, certification mark and logos. ITSqc marks include:

- ITSqc Member (see Figure 3)
- ITSqc Authorized (see Figure 4)
- Certified Service Provider (see Figure 5)
- Certified Client Organization (see Figure 6)



Figure 3
ITSqc Member Mark



Figure 4
ITSqc Authorized Mark



Figure 5
Certified Service Provider



Figure 6
Certified Client Organization

If the ITSqc grants the right to use a symbol or logo to indicate certification of an organization, the organization is permitted to use the specified symbol or logo only as authorized in writing by the ITSqc. This symbol or logo shall not be used on a product, or in a way that may be interpreted as denoting product conformity.

4.6.3 Responsibilities of Authorized Organizations and Evaluators

When providing professional services, Authorized Organizations and Evaluators shall:

- a. Advise their clients as to the correct methods of using their Capability Determination results, certification status, logos and marks.
- b. Take suitable action whenever inaccurate or misleading references to the items listed in a) above appear in advertisements, catalogues, other publications or media.
- c. Not make false or misleading claims in their own advertising that cannot be substantiated.

Authorized Organizations are encouraged to publicize their affiliation with the ITSqc. ITSqc will maintain current listings of Authorized Organizations, Authorized Lead Evaluators, and Authorized Evaluators in good standing on its website for potential customers to review. Only those Authorized Organizations, Authorized Lead Evaluators, and Authorized Evaluators who have agreed in writing to adhere to this Code of Professional Practice (see Attachment 1) will be included in the published lists.

Authorized Organizations shall comply with all published requirements, restrictions or limitations on the use of the ITSqc logo and on the use of the ITSqc Member logo.

Derivative works may be created from publicly available materials for appropriate purposes, e.g., consulting, unless such works are explicitly prohibited. Anyone who creates derivative works from Carnegie Mellon University materials must (a) include the original copyright notice attributing copyright ownership to Carnegie Mellon University and (b) refer correctly to any Carnegie Mellon University trademarks and service marks that appear in the text.

4.6.4 Joint Marketing

In order to reinforce the ethic of the separation of consulting, including improvement activities, and certification, there shall be no joint marketing of consultancy and certification. An Authorized Organization shall not make joint sales presentations (including presentations, joint meetings, or proposals) to a potential or existing certified customer. This includes joint sales presentations between an Authorized Organization offering certification services and a third party body that provides management systems consulting services, as well as joint presentations from the an Authorized Organization covering both:

- certification and
- improvement or consulting efforts.

No Authorized Organization shall state or imply that certification would be simpler, easier, or faster or that specific results related to costs would occur if their Evaluation for Certification services are used. Similarly, it is not appropriate to state or imply that certification would be simpler, easier, or faster or would result in specific outcomes if a specified consultant is used.

Consultancy, regarding eSCM implementation and implementation, and certification for a specific standard (e.g. eSCM-SP or eSCM-CL) shall not be marketed together. Consulting and certification activities must be separate contracts and managed separately.

4.6.5 Responsibilities of Qualified eSCM Consultants

Qualified eSCM Consultants are encouraged to publicize their qualification as a Qualified eSCM Consultant. ITSqc will maintain current listings of Qualified eSCM Consultants in good standing on its website for potential customers to review. Only those Qualified eSCM Consultants who have agreed in writing to adhere to this Code of Professional Practice (see Attachment 1) will be included in the published lists.

When providing professional services, Qualified eSCM Consultants shall not make false or misleading claims that cannot be substantiated in their professional services or in their marketing and advertising.

Qualified eSCM Consultants shall comply with all published requirements, restrictions or limitations on the use of the ITSqc logo and on the use of the ITSqc Qualified eSCM Consultants logo.

Derivative works may be created from publicly available materials for appropriate purposes, e.g., consulting, unless such works are explicitly prohibited. Anyone who creates derivative works from Carnegie Mellon University materials must (a) include the original copyright notice attributing copyright ownership to Carnegie Mellon University and (b) refer correctly to any Carnegie Mellon University trademarks and service marks that appear in the text.

4.6.6 Responsibilities of ITSqc-Certified Organizations

ITSqc shall require that any certified organization:

- a. conforms to the requirements of the ITSqc when making reference to its certification status in communication media such as the internet, documents, brochures or advertising;
- b. does not make or permit any misleading statement regarding its certification;
- c. does not use or permit the use of a certification document or any part thereof in a misleading manner;
- d. discontinues its use of all advertising matter that contains a reference to certification upon expiration, suspension or withdrawal of its certification by ITSqc;
- e. amends all advertising matter when the scope of certification has been reduced;
- f. does not allow reference to its certification to be used to imply that the ITSqc certifies a product, process, or service;
- g. does not imply that the certification applies to activities that are outside the scope of certification;
- h. does not use its certification in such a manner that would bring the ITSqc and/or eSCM certification process into disrepute and loss of public trust.

Certified organizations shall comply with all published requirements, restrictions or limitations on the use of the ITSqc logo and on the use of the eSCM Certified Service Provider or eSCM Certified Client Organization logo.

ITSqc shall exercise proper control of ownership and take suitable action to identify and deal with incorrect references to certification status or misleading use of certification marks or audit reports. The ITSqc shall take suitable action to deal with incorrect references to certification, the certification system, or misleading use of certificates and logos found in advertisements, catalogues, publications, or other media. Suitable actions could include corrective action, withdrawal of certificate, publication of the transgression and, if necessary, other legal action.

5 Evaluation, Audit, and Control

5.1 Compliance

5.1.1 Authorized Organizations and Evaluators

Authorized Organizations and Evaluators shall:

- a. Conduct periodic reviews of their compliance with provisions of this and other applicable codes of practice.
- b. Accept that all allegations or complaints, supported by objective evidence, of a failure to comply with this Code of Professional Practice shall be impartially investigated by the ITSqc. If the allegation or complaint is substantiated, then one of the following courses of action can be implemented:
 - Terminate authorization, or
 - Order a formal reprimand or admonition, or
 - Request and verify suitable corrective action.

5.1.2 Certified Organizations

Certification is done against the current version of the Model. When a new version of the Model is released, it will be released with an effective date after which all Capability Determinations will be performed with the new version of the Model. Organizations that are currently certified against the current version of the Model will have the opportunity to certify against the new version of the Model when they renew their certification, or sooner, at their option. Certified organizations must comply with a new version of the Model at their next certification.

Certified organizations are required to promptly notify the ITSqc, in writing, within 30 days of any of the following events:

- Any major changes in processes or other changes which may affect conformity with the Reference Model
- Any changes significantly affecting the activity and operation of the service provider (such as change of ownership, changes in personnel or technology or infrastructure)

The ITSqc will conduct surveillance audits of certified organizations in the event of changes significantly affecting the activity and operation of the certified organization (such as change of ownership, changes in personnel or equipment), or if analysis of a complaint or any other information indicates that the certified organizations no longer complies with the requirements of the certification body.

5.1.3 Reporting Potential Noncompliance

It is each individual's responsibility to comply with the standards established in this Code. It is also each individual's obligation to report any situations that may be illegal, that may indicate unethical practices, or where observed actions may be improper or inappropriate. Such concerns should be reported to the Director of the ITSqc, or to the Chair of the ITSqc Advisory Board, if the concern deals with ITSqc staff.

5.2 ITSqc Audits and Observations

Two types of ITSqc audits and observations will be performed. The first is focused on the performance of individuals on the Capability Determination teams. These will be performed for:

- a. initially assessing the conduct and performance of Evaluators and technical experts during Capability Determinations,
- b. subsequent monitoring of the conduct and performance of Evaluators and technical experts.

Authorized Organizations and Evaluators acknowledge that the ITSqc will monitor the performance of technical (domain) experts, Candidate Evaluators, Authorized Evaluators, Authorized Lead Evaluators, and the documentation they provide.

The second type of audit and observation is a surveillance audit. Surveillance audits are focused on ensuring continued organizational compliance with the Reference Model by certified organizations. Surveillance audits may also be conducted if analysis of a complaint or any other information indicates that the certified organization no longer complies with the requirements of the certification.

5.3 Infractions and Consequences

Upon written request of an interested party who can demonstrate reasonable cause to the ITSqc, a review of a suspected violation of this Code of Professional Practice, including its Code of Ethics, may be held. The review panel will consist of three qualified ITSqc members.

If an Evaluator is found to be in violation of the Code of Professional Practice, Code of Professional Ethics, Standards for Capability Determination, or Capability Determination Method guidelines, authorization will be terminated for a period of at least one year. The ITSqc may choose to impose further sanctions, depending on the seriousness of the violation, e.g., organizational authorization may also be terminated. Those individuals who are pursuing Authorization and are found to be in violation will face sanctions up to removal from the authorization process.

If a sponsoring organization is found to have specifically requested an Evaluation for Certification that violates the guidelines set forth by the ITSqc, Lead Evaluators are expected to notify the ITSqc immediately. The ITSqc will send written notification that certification will be withheld from the organization(s) to the sponsoring organization (and to the appraised organization, if appropriate) with a copy to the Lead Evaluator involved.

The ITSqc will not investigate inquiries regarding internally conducted appraisals. The ITSqc may, however, issue a written warning to both the Evaluator and the organization indicating that there is concern about the integrity of their appraisal results and reminding them about appropriate use of self-appraisal results.

Organizations that declare, claim, or publicize attainment of a capability level or receipt of certification without having received Certification from the ITSqc will be subject to actions by Carnegie Mellon University.

5.4 Appeals, Complaints and Disputes

Appeals, complaints and disputes brought before the ITSqc by organizations, Evaluators, or other parties shall be subject to the procedures of the ITSqc, operating as the authorizing body for Authorized Organizations and Evaluators, and as the certification body for the eSCM certification process.

The ITSqc shall:

- keep a record of all appeals, complaints and disputes, and remedial actions relative to certification or authorization;
- take appropriate corrective and preventive action; and
- document the actions taken and assess their effectiveness.

Appendix A: Definitions

In this Code of Professional Practice, the following expressions have the following meanings assigned to them:

appraisal	See self-appraisal
Authorized eSCM Instructor	A person who delivers ITSqc-authorized training related to the ITSqc's model(s) and Capability Determination Methods, and has been authorized to do so by the authorizing body (ITSqc) having satisfied the qualification criteria for experience, knowledge, and skills.
Authorized Evaluator (AE)	A person who participates in the activities of a Capability Determination and has been authorized to do so by the authorizing body (ITSqc) having satisfied the qualification criteria for experience, knowledge, and skills defined by the Capability Determination Method.
Authorized Lead Evaluator	A person who leads the activities of a Capability Determination and has been authorized to do so by the authorizing body (ITSqc) having satisfied the qualification criteria for experience, knowledge, and skills defined by the Capability Determination Method. Authorized Lead Evaluators are Authorized Evaluators who have developed the skills and knowledge to serve as the Determination Team Leader for a Capability Determination.
Authorized Organization	An organization authorized to provide professional services related to: <ul style="list-style-type: none"> • performing Capability Determinations of the organizational systems and processes of companies (i.e., service providers) with respect to a published Reference Model, and/or • consulting to support organizational improvement with respect to a published Reference Model, and/or • delivery of training services, based on the eSCM.
authorizing body	A third party that authorizes highly-qualified organization and individuals to provide professional services related to performing Capability Determinations of the organizational systems and processes of companies (i.e., service providers) with respect to a published Reference Model. (See also certification body.)
CDA	Capability Determination Agreement
Candidate Evaluator (CE)	A person who has successfully completed the required eSCM Model and eSCM Capability Determination Methods courses, has successfully participated in one Capability Determination and has not yet attained Authorized Evaluator status. Candidate Evaluators may not participate in Full Evaluations for certification.
Capability Determination	An examination of organizational systems and processes by a trained team of professionals using a Reference Model as the basis for determining, at a minimum, strengths and areas for improvement, and a practices satisfaction profile.
Capability Determination Disclosure Statement (CDDS)	A summary statement describing the Reference Model used in a Capability Determination, the ratings generated as outputs of the Capability Determination, and the conditions and constraints under which the Capability Determination was performed. The CDDS should be used for public disclosures of capability level ratings so they can be interpreted accurately.
Capability Determination Method(s)	A formal process for examining organizational systems and processes by a trained team of professionals using a Reference Model as the basis for determining, at a minimum, strengths and areas for improvement, and a practices satisfaction profile.

Capability Determination record	An orderly, documented collection of information that is pertinent to the Capability Determination and adds to the understanding and verification of the Capability Determination findings and ratings generated. The Capability Determination record is submitted to the ITSqc to support the certification process.
Capability Determination sponsor	See sponsor
Capability Level	Each Capability Level has Practices that, together, define a predictable set of processes and outcomes. The five Capability Levels of eSCM describe an improvement path for a service provider or client.
Center	IT Services Qualification Center
Certificate of Capability	See certification document
certification	Certification involves the evaluation of a service provider's internal systems and processes, and not the certification of products, processes or services. Evidence of conformity to the eSCM standard will be in the form of a certification document.
certification body	A third party that certifies the organizational systems and processes of service providers with respect to a published Reference Model.
certification document	A certification document is a Certificate of Capability issued by Carnegie Mellon University to qualified service providers as a result of a Full Evaluation Capability Determination and review of the Capability Determination record by the Certification Board. For Certification Evaluations, a certification board at Carnegie Mellon rigorously reviews the data before the ITSqc issues the certification document - a Certificate of Capability.
certification system	System having its own rules of procedure and management for carrying out the Capability Determination leading to the issuance of a certification document and its subsequent maintenance.
client	An entity that obtains sourcing services from a service provider.
company	Any entity or person(s), whether organized for profit or not, including a parent company and all of its subsidiaries.
Consortium Member	Organizations that are interested in (1) creating capability models, (2) evaluating capability of organizations so that Carnegie Mellon may certify their capability levels, and (3) developing a repository and benchmarks of best practices. Consortium Members join at one of three possible membership tiers – Principal/Founding, Associate, or Contributing – which are primarily differentiated by the scope and depth of involvement in the ITSqc research program and the intellectual property rights granted to each member.
Determination Team Lead (DTL)	The person who leads the activities of a Capability Determination and has satisfied the qualification criteria for experience, knowledge, and skills defined by the Capability Determination Method.
engagement	The relationship between the service provider and a (prospective) client that spans the entire sourcing process.
evaluation	An examination of organizational systems and processes by a trained team of professionals, external to the organization, using a Reference Model as the basis for determining, at a minimum, strengths and areas for improvement, and a Practices satisfaction profile.
Lead Evaluator (LE)	A person who has achieved recognition from the authorizing body (ITSqc) to perform as a Determination Team Lead for a Capability Determination. See also Authorized Lead Evaluator.
objectivity	A combination of impartiality, intellectual honesty and a freedom from conflicts of interest.

Organization	In the context of the eSCM for Service Providers, an organization is synonymous with a service provider. As used in the eSCM-CL Practices, an organization is an entity that engages in sourcing activities with one or more service providers.
organizational unit	<p>The part of an organization that is the subject of a Capability Determination (also known as the organizational span of the Capability Determination).</p> <p>An organizational unit deploys one or more processes that have a coherent process context and operates within a coherent set of business objectives. An organizational unit is typically part of a larger organization, although in a small organization, the organizational unit may be the whole organization.</p>
participants	Members of the organizational unit who participate in providing information during a Capability Determination.
practicum	The part of the course or training consisting of practical work in a particular field.
professional services	Any service requiring knowledge of the Reference Model performed by a practice including management consulting, process improvement activities, and Capability Determination services.
Qualified eSCM Consultant	A person who participates in eSCM-based improvement and Capability Determination activities, typically as an organizational management representative, and has been authorized to do so by the authorizing body (ITSqc) having satisfied the qualification criteria for experience, knowledge, and skills defined by the ITSqc.
Reference model	The model a Capability Determination team uses as the basis for evaluating organizational activities. A Reference Model can also be used to guide organizational improvement.
Self-Appraisal	A Capability Determination that an organization does to and for itself for the purpose of process improvement.
Service Provider	An entity that provides IT-enabled sourcing services to a client. The service provider has business functions and administration separate from the client.
Sponsor	The individual, internal or external to the organization, undergoing Capability Determination, who requires the Capability Determination to be performed, and provides financial or other resources to carry it out.

Appendix B: Capability Determination Methods

The eSourcing Capability Model for Service Providers was developed to provide IT-enabled outsourcing service providers with a Reference Model and Capability Determination Methods to improve their capability to consistently deliver high quality services in the global services economy. These methods address the needs of service providers and their clients for determining the capability of the provider relative to the eSCM. These Methods determine capability of an organization through a systematic analysis of the implementation and institutionalization of the practices defined in the eSCM.

B.1. Objectives of Capability Determination Methods

The objectives of eSCM Capability Determination Methods are to:

- Identify and derive a Capability Profile, which includes the strengths, areas for improvement, and status of the improvement efforts for a service provider, relative to the eSCM;
- Identify a service provider's strengths, areas needing improvement, and associated risks as decision inputs for a client when they are selecting a service provider; and
- Support, guide, and encourage a service provider's commitment to continuous self-improvement and implementation of best practices.

B.2. Types of Capability Determination Methods

ITSqc has defined two basic types of Capability Determination Methods: an Evaluation and a Self-Appraisal. Each of these can be used either with the full set of Practices from the Reference Model (Full Evaluation or Full Self-Appraisal) or with a subset of the Practices from the Reference Model (Mini Evaluation or Mini Self-Appraisal). All of the Capability Determination Methods (Evaluation and the Self-Appraisal) can be used to identify, analyze, and improve organizational capabilities.

A Capability Determination may involve a single project or engagement, a site, or multiple sites of the same organization. A Capability Determination may also address a specific service, (e.g., information services), and/or a specific sector, (e.g., banking and finance or healthcare).

Each Full Evaluation is conducted by a team of external agents who are trained and authorized by Carnegie Mellon to conduct evaluations of service providers. For a Full Evaluation, after a rigorous review of the evaluation data, Carnegie Mellon will issue a Certificate of Capability to qualified service providers. The evaluation method will aid in the analysis of the service providers' strengths, areas for improvement, and associated risks by measuring the extent of implementation and institutionalization of the Practices defined in the eSCM.

The Self-Appraisal method enables service providers to determine their current capabilities and define targets for improvement.

The five different Capability Determination Methods that are available from ITSqc are:

1. Full Self-Appraisal
2. Mini-Self-Appraisal
3. Full Evaluation

4. Mini-Evaluation

5. Full Evaluation for Certification

Key differences between the five different Capability Determination Methods are summarized in Table 1.

Table 1
Capability Determination Methods

		EVALUATION FOR CERTIFICATION	EVALUATION	SELF-APPRAISAL
FULL	PURPOSE	For certification	For external evaluation of organization's capabilities. No certification.	To prepare for a Full Evaluation for Certification or launch or validate an improvement effort. No certification.
	TEAM	External, trained & authorized by Carnegie Mellon University	External, trained & authorized by Carnegie Mellon University	Internal, external, or combination
	LEAD EVALUATOR	Required	Required	Strongly Recommended
	SPONSOR	Appraised Organization or external entity	Appraised Organization or external entity	Appraised Organization
	MODEL SCOPE	Full scope of Reference Model	Full scope of Reference Model	Full scope of Reference Model
MINI	PURPOSE		To prepare for a Full Evaluation or Full Evaluation for Certification, or to identify strengths and opportunities for improvement. No certification.	To launch or validate an improvement effort . No certification.
	TEAM		External, trained & authorized by Carnegie Mellon University	Internal, external, or combination
	LEAD EVALUATOR		Required	Recommended
	SPONSOR		Appraised Organization or external entity	Appraised Organization
	MODEL SCOPE		Reduced scope of Reference Model	Reduced scope of Reference Model

These methods and training to be authorized to use these methods are available from ITSqc for use in the various IT-enabled sourcing services and market sectors.

B.2.1 Full Self-Appraisal

The *Full Self-Appraisal* is the Capability Determination Method that supports capability improvement in the client or service provider's organization. An organization sponsors a Self-Appraisal to initiate internal capability improvement, to determine status relative to a Reference Model, or to prepare for an external evaluation. The focus of the Full Self-Appraisal method is to identify areas of improvement based on the eSCM. A Full Self-Appraisal examines the full scope of the Reference Model.

The appraisal team for this method consists of members who can be either internal and or external to the appraised organization, or a combination. Involving an Authorized Lead Evaluator as the determination team leader (DTL) is recommended. When an organization uses an Authorized Lead Evaluator, the Organization selects Lead Evaluator from a list maintained by Carnegie Mellon and pays for Self-Appraisal services.

Results of this method include a gap analysis between the eSCM Practices and the provider's implementation of these Practices. This appraisal can also be used to prepare for a Full Evaluation leading to certification. Results of a Full Self-Appraisal go to the service provider and to the ITSqc.

B.2.2 Mini-Self-Appraisal

Mini-Self-Appraisal is the Capability Determination Method of rapidly and economically checking the status of the improvement efforts undertaken, or as a means of determining the gap, for initiating improvement efforts using eSCM as the Reference Model. A Mini Self-Appraisal examines a limited scope of the Reference Model during the Capability Determination.

A Mini-Self-Appraisal is sponsored by the appraised organization. Involving an Authorized Lead Evaluator as the Determination Team Leader (DTL) is recommended. When an organization uses an Authorized Lead Evaluator, the Organization selects Lead Evaluator from a list maintained by Carnegie Mellon and pays for Self-Appraisal services. Results of a Mini-Self-Appraisal go to the appraised organization and to the ITSqc.

B.2.3 Full Evaluation

The *Full Evaluation* is a third-party external evaluation of an organization's capability, sponsored by the appraised organization or by a related external entity (such as a client of a Service Provider). A Full Evaluation examines the full scope of the Reference Model.

The sponsor selects authorized Lead Evaluators from a list provided by the ITSqc and pays for evaluation services. The evaluation team for this method is trained by Carnegie Mellon and authorized to perform external appraisals of organizations. The evaluation team consists of a Carnegie Mellon-trained and authorized DTL and Carnegie Mellon-trained and authorized Evaluators external to the appraised organization.

B.2.4 Mini-Evaluation

A *Mini-Evaluation* is a Capability Determination Method of rapidly and economically measuring an organization's capability to provide or manage IT-enabled sourcing services. This method provides a consistent means of checking the status and progress of various capability improvement efforts in an organization.

A mini-evaluation examines a limited scope of the Reference Model. The scope of a Mini-Evaluation may be limited to a subset of Practices in the eSCM (e.g., include just the Practices for one Capability Level of the Model or for one or two Capability Areas).

A Mini-Evaluation can be sponsored either by a client or by a service provider. The Sponsor selects authorized Lead Evaluators from a list provided by the ITSqc and pays for evaluation services. A Mini-Evaluation is conducted by an evaluation team consisting of Carnegie Mellon-trained and authorized DTL and Evaluators external to the organization, and is sponsored by the appraised organization or other external entities, e.g., clients, or advisors. Results are provided to the appraised organization, sponsor, and ITSqc.

B.2.5 Full Evaluation for Certification

The *Full Evaluation*, or Certification Evaluation, is a third-party external evaluation of an organization's capability, sponsored by the appraised organization itself or other external entities. The Full Evaluation for Certification is the only Capability Determination Method that results in certification. A Full Evaluation examines the full scope of the Reference Model.

The sponsor selects authorized Lead Evaluators from a list provided by the ITSqc and pays for evaluation services. The evaluation team for this method is trained by Carnegie Mellon and authorized to perform external appraisals of organizations. The evaluation team consists of a Carnegie Mellon-trained and authorized DTL and Carnegie Mellon-trained and authorized Evaluators external to the appraised organization.

The evaluative data will be rigorously reviewed by Carnegie Mellon and, when warranted, will result in certification of the provider's capability by Carnegie Mellon. Carnegie Mellon will issue the certificate with a Capability Level and a Capability Profile. Results of Certification Evaluations go to the appraised organization, sponsor, and to ITSqc.

Appendix C: Code of Professional Ethics

The objectives as well as the fundamental principles are of a general nature and are not intended to be used to solve ethical problems in a specific case. However, the Code provides some guidance as to the application in practice of the objectives and the fundamental principles with regard to a number of typical situations occurring in professional services.

The ITSqc sets forth this Code of Professional Ethics to guide the professional and personal conduct of members of the Consortium, other Authorized organizations, and/or Lead Evaluators and Evaluators. These parties shall:

- Base their ethics and honor on this Code of Professional Practice and others that are applicable to their business.
- Be honorable in their dealings with clients. Be straightforward and honest in performing professional services, and treat all persons fairly regardless of such factors as gender, race, religion, national origin, disability or age.
- Act in a manner that is in the best interests of their client and employer consistent with the public interest by serving in the interest of relevant parties in a diligent, loyal and honest manner, and not knowingly being a party to any illegal or improper activities.
- Respect and maintain the privacy and confidentiality of information obtained in during the course of performing professional services and should not use or disclose any such information without proper and specific authority or unless disclosure is required by the ITSqc or appropriate legal authority. Such information shall not be used for personal benefit or released to inappropriate parties.
- Perform their duties in a fair, independent, and objective manner; and avoid activities that impair, or may appear to impair, their integrity, independence or objectivity.
- Not allow or appear to allow prejudice or bias, conflict of interest, or influence of others to override objectivity; and to disclose these factors to affected parties when they do exist.
- Not portray themselves as having expertise or experience they do not possess.
- Undertake only work that they, their employed staff or subcontracted resource are competent to perform.
- Perform their duties with due professional care, competence and diligence, and agree to undertake only those activities which they can reasonably expect to complete with professional competence.
- Maintain and improve their professional knowledge and skill at a level required to ensure that a client or employer receives the advantage of competent professional service through an ongoing process of awareness, education, and training sufficient to perform their respective duties.
- Inform the appropriate parties of the results of Capability Determinations performed, revealing all material facts known to them, which if not revealed could either distort reports of operations or conceal unlawful practices.
- Accept responsibility for all work done under their authority, supervision or direction.
- Support the ongoing education of clients, colleagues, the general public, management, and boards of directors.

- Maintain high standards of conduct and character and not engage in acts discreditable to the profession.
- Avoid any public statements that detract from the high regard of the ITSqc and its Capability Determination processes.

Appendix D: Standards for Capability Determination

D.1. Capability Determination Principles

Evaluators will follow these general principles in performing Capability Determinations:

1. Follow the Capability Determination process as defined and documented by the ITSqc to ensure consistency in method activities.
2. Secure and document organizational support and commitment for the Capability Determination – to ensure the sponsorship of management and the commitment of participating organizations to carry out the Capability Determination process.
3. Adhere to a strict confidentiality, non-disclosure, and non-attribution policies as documented in the specific Capability Determination Method guidelines.
4. Maintain objectivity and impartiality so that evaluation results will be based on facts and be without bias.
5. Develop a cooperative relationship with evaluation participants so that the team gets accurate and relevant information from the organization.
6. Operate with independence from the sponsor.
7. All information must be recorded and reported accurately and honestly.

D.2. Capability Determination Planning

The Capability Determination Method selected, for example the Evaluation for Certification, will be applied in accordance with the guidelines provided during the authorization process. The guidelines for applying a selected Reference Model (e.g. eSourcing Capability Model) in conducting a Capability Determination will be followed as published in the training and handbooks provided to evaluators by the ITSqc during the authorization process for becoming an Authorized Evaluator or provided to their Authorized Organization for use in Capability Determinations. Any updates to these guidelines will be distributed as they are made available.

When selecting the team to be appointed for a specific Capability Determination, the Determination Team Leader shall ensure that the skills brought to each assignment are appropriate. The team shall

- a. be familiar with the applicable legal regulations, certification procedures and certification requirements;
- b. have a thorough knowledge of the relevant Reference Model, Capability Determination Method and Capability Determination documents;
- c. have appropriate technical knowledge of the specific activities for which certification is sought and, where relevant, with associated procedures and their potential for failure (technical experts who are not auditors may fulfill this function);
- d. have a degree of understanding sufficient to make a reliable Capability Determination of the competence of the supplier to provide products, processes or services in its certified scope;
- e. be able to communicate effectively, both in writing and orally, in the required language(s);

- f. be free from any interest that might cause team members to act in other than an impartial or non-discriminatory manner.

Each Capability Determination plan submitted identifies the proposed team members. For each team member, the following information is submitted:

- Name and address information
- Conflict of Interest Disclosure Form (see Attachment 2)

For each Domain Expert or Translator/Interpreter proposed for a Capability Determination, the following information is submitted along with the Capability Determination plan:

- Name and address information
- Resume
- Conflict of Interest Disclosure Form

The Conflict of Interest Disclosure Form is used to allow Capability Determination team members to inform the ITSqc, prior to the Capability Determination, about any existing, former or envisaged link between themselves or their organization and the organization to be evaluated. Each proposed team member is required to submit Conflict of Interest Disclosure Form disclosing any prior contact with the organizational unit or any issues which could compromise the certification process and decision.

Issues that could disqualify a team member from participating in a Capability Determination include, but are not limited, to those identified in paragraphs 4.2 and 4.5. Prior contact that would disqualify an Evaluator from participating in a Capability Determination, specifically an Evaluation for Certification, would include prior consulting regarding improvement using the Reference Model or participation in a self-appraisal with the same organization within the past thirty-six months. However, an exception to this prior contact disqualification is that evaluator may participate in a Capability Determination in the same organization that they participated in an ITSqc-supervised pilot Capability Determination.

The Capability Determination plan, along with Conflict of Interest Disclosure Forms for each Capability Determination team member, Domain Experts and Translator, shall be supplied to the ITSqc. Submission of these materials is required for Full Evaluations and is recommended for Mini-Evaluations. Such plans must reach ITSqc at least 30 days prior to the beginning of the Capability Determination. The Conflict of Interest Disclosure Forms must be received at least 30 days prior to the beginning of the Capability Determination and are reviewed by the Carnegie Mellon's counsel and/or the ITSqc in advance of an Evaluation.

Any modification to the Capability Determination Method will be documented and the reasons for such modification approved by the ITSqc prior to review with the evaluation sponsor. In particular, any tailoring of the Capability Determination Method will be documented and the reasons for tailoring explained to the Organizational Unit.

For a Full Evaluation, submit a completed Capability Determination plan and a completed Capability Determination agreement to ITSqc (not later than 30 days prior to the start on the evaluation onsite phase). The plan is a plan for the Capability Determination that includes a detailed schedule of the onsite activities, indicates who is interviewed, and provides basic information on the organization being evaluated.

The Capability Determination agreement (See Attachment 3) incorporates commitments and obligations of the Sponsor, Service Provider, and Determination team, including terms and conditions for non-disclosure. This agreement also summarizes the scope, schedule, and conditions under which the Capability Determination will be conducted, and specifies deliverables resulting from the Determination.

D.3 Performing Capability Determinations

Authorized Lead Evaluators and Authorized Evaluators conduct Capability Determinations according to the plans developed and approved.

All Capability Determination interventions are to be performed as defined by the ITSqc through published method documentation and training. The Capability Determination Method selected will be performed in accordance with this Code of Professional Practice, including the Code of Professional Ethics (see Appendix C – Code of Professional Ethics), the guidelines provided during the authorization process, and materials provided to their Authorized Organization for use in Capability Determinations.

D.4 Capability Determination Reporting

Results of Capability Determinations are documented and made available as described in the descriptions of each Capability Determination Method (see Appendix B). Each Capability Determination intervention defines a set of documentation that will be submitted to the ITSqc for inclusion in the repository and for use in improving the Reference Models and Capability Determination Methods.

Lead Evaluators will complete the final report and supporting documentation and will submit Full Evaluation Results and results from other Capability Determinations to ITSqc. Results of evaluations and self-appraisals are reported to ITSqc for inclusion in the repository. Authorized Lead Evaluators are required to provide a report to the ITSqc for each completed Capability Determination.

Records will be maintained for Capability Determination participation (Authorized Lead Evaluators, Evaluators, and technical (domain) experts who participate in Capability Determinations).

A self-appraisal's results are owned by the self-appraisal sponsor; accordingly, the sponsor may publicize this information at their discretion. However, as a self-appraisal does not result in certification, ITSqc will take action against those organizations who claim certification or attainment of any capability level as a result of a self-appraisal. The ITSqc will not publish or "certify" any self-appraisal findings or capability levels nor does the ITSqc confirm or deny that any organization has performed a self-appraisal.

When submitting results for Certification, the Lead Evaluator will submit the Request for Certification to the ITSqc (not later than 1 month after the completion of the evaluation onsite phase). The request comes from the organization that was evaluated and includes:

- Sponsor Letter
- The certification payment

The Sponsor Letter is a letter requesting certification of (organization) at eSCM Capability Level (n) and attesting to the accuracy of the evaluation and the organization's commitment to continue the evaluated processes throughout the certification period. This letter must be signed by an authorized

representative from the organization's senior management. This letter should state that no public announcement of the results is requested if the organization does not want to be listed on the Carnegie Mellon website (negative results are not published in any case)

The organization's request is supported by a submission from the Lead Evaluator that includes:

- Evaluation Team Letter
- Evaluation Final Report
- Final Evaluation schedule/plan (including actual time spent on all evaluation activities)
- The evaluation tool database
- A sampling of relevant organization documents, including policies, procedures, service artifacts, and reports
- Evaluation feedback forms

The Evaluation Team Letter is a letter to ITSqc from the Lead Evaluator that attests that:

- On (these dates) a specified team performed an eSCM Certification Evaluation on (organization)
- The Capability Determination team was composed of: (list members)
- The Capability Determination team followed the evaluation method and principles as prescribed by ITSqc.
- The Capability Determination team believes that the evaluation results fairly and honestly reflect the current status of the organization
- The (Organization) organization was found by this Capability Determination team to be eSCM Capability Level (N)

This letter is signed by all evaluation team members.

Determination Team Leads must submit the results, including Request for Certification, plus all the attachments described above, to the ITSqc (not later than 1 month after the completion of the evaluation onsite phase).

D.5 Certification

For Certification Evaluations, a Certification Board at the ITSqc rigorously reviews the Capability Determination record before the ITSqc issues a certificate of capability. Certification Board activities leading to a certification decision will be completed within thirty (30) days of the receipt of a complete Capability Determination record, Request for Certification, and the Sponsor Letter and payment.

For completed Full Evaluations, ITSqc will issue the appropriate certification document and provide this information to the Lead Evaluator, the sponsoring organization, and to the service providers involved, if appropriate. Model Version is recorded as part of the Certification Information.

On completion of the Certification Board's review, an organization is either certified or not. If certified, the organization will receive a notice of certification letter and a Carnegie Mellon certificate with the organization's certification validity dates included. When approved by the Certification Board, Certificates of Capability will be issued by the ITSqc for a period of two years. These certifications shall remain in effect during this entire period, except as addressed by a change

in status and a resulting Mini-Evaluation which may affect the certification. (Refer to paragraph 5.1.2 regarding these surveillance audits.) Certificates of Capability do not automatically extend or renew. A Full Evaluation must be completed to obtain a new Certificate of Capability.

Until the ITSqc informs the Determination Team Leader and sponsor of the Certification Board's decision, Determination Team Leaders or Capability Determination team members may not announce evaluation results or certification. As the Certifying Body, only the ITSqc will release evaluation results.

ITSqc publishes a list of certified organizations. Organizations receiving a Certificate of Capability will be listed on the ITSqc website (itsqc.cmu.edu). The ITSqc posts results of certification actions on its website, unless an organization requests that their results not be posted. The main location for the current published list will be the Carnegie Mellon website - but other methods of distribution may also be used.

A Capability Determination Disclosure Statement (CDDS), which is a summary statement describing the organization evaluated and the ratings generated as outputs of the Capability Determination, and the conditions and constraints under which the Capability Determination was performed, will also be posted to the ITSqc website. The CDDS should be used for public disclosures of capability level ratings so they can be interpreted accurately.

ITSqc will answer inquiries requesting the certification status of an organization.

Attachments

Attachment 1 – Statement of Adherence

Complete and return to the ITSqc one Statement of Adherence per Authorized Organization, Authorized Evaluator, and Authorized Lead Evaluator.

Attachment 2 – Conflict-of-Interest Disclosure Form

The Conflict-of-Interest Disclosure Form shall be completed by each individual proposed as a part of the Evaluation team and submitted to the ITSqc for review. These Conflict-of-Interest Disclosure Forms are NOT required to be submitted for Self-Appraisals.

Attach one Conflict-of-Interest Disclosure per determination team member, domain expert, or translator.

Attachment 3 – Capability Determination Agreement

The Capability Determination Agreement (CDA) should be prepared by the Determination Team Lead (DTL) once they have clarified and documented all Determination requirements. The Determination Agreement incorporates commitments and obligations of the Sponsor, Service Provider, and Determination team, including terms and conditions for non-disclosure. This agreement also summarizes the scope, schedule, and conditions under which the Capability Determination will be conducted, and specifies deliverables resulting from the Determination.

The Determination Team Lead should assemble all requested documents, collect all signatures, package and submit the information to the ITSqc for review.

Attachment 1 – Statement of Adherence

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Statement of Adherence

I _____ acknowledge that I have read the ITSqc Code of Professional Practice, the ITSqc Code of Professional Ethics, and the Standards for Capability Determination and my signature below indicates

☐ my ☐ my organization's

commitment to adhere to these Codes and Standards. I understand and agree with the need for behaving according to the highest standards of professional practice.

I am committed to uphold the standards described herein and will comply with the guidelines set forth in the ITSqc Code of Professional Practice, the ITSqc Code of Professional Ethics, and the Standards for Capability Determination.

PRINTED NAME

TITLE AND ORGANIZATIONAL AFFILIATION

SIGNATURE

DATE

PRINTED NAME

OFFICER OF ORGANIZATION

SIGNATURE

DATE

WITNESS NAME

TITLE

SIGNATURE

DATE

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Attachment 2 – Conflict-of-Interest Disclosure

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IT SERVICES QUALIFICATIONS CENTER ("ITSQC") CONFLICT OF INTEREST DISCLOSURE FORM

NAME: LAST	FIRST	MIDDLE INITIAL	<input type="checkbox"/> Authorized Evaluator
			#
HOME ORGANIZATION			<input type="checkbox"/> Authorized Lead Evaluator
			#

Definition of Terms

Connected

As used in this Disclosure Form, you are "Connected" with any entity if you serve as an employee, officer, director, trustee, general partner, agent, attorney, consultant, or contractor for that entity.

Immediate Family

As used in this Disclosure Form, a member of your "Immediate Family" means your spouse and children, and the father, mother, sisters and brothers of yourself and your spouse. You are not required to question members of your family for this statement. It is sufficient to give the facts as you know them or believe them to be.

Financial Interest

As used in this Disclosure Form, "Financial Interest" includes (except as stated below) any stock, securities, bond or other debt obligation, option or right to purchase stock, share in profits, investment, partnership interest or other proprietary interest of any nature. Ownership of securities in a corporation shall not be deemed to constitute financial interest therein within the meaning of this questionnaire, if all the following conditions are met: (a) the securities are traded on a national securities exchange, or regularly reported in over-the-counter quotations in the financial press; (b) the securities owned by you and to your knowledge or belief owned by members of your immediate family do not exceed one-tenth of 1% of the outstanding securities of the same class of such corporation; and (c) the market value of the securities so owned does not exceed 50% of your gross annual income. Financial Interest also includes employment and contractual relationships.

Organizational Unit

As used in this Disclosure Form, "Organizational Unit" refers to the part of an organization that is the subject of a Capability Determination (also known as the organizational scope of the Capability Determination). An Organizational Unit deploys one or more processes that have a coherent process context and operates within a coherent set of business objectives. An Organizational Unit is typically part of a larger organization, although in a small organization, the Organizational Unit may be the whole organization.

Organization

As used in this Disclosure Form, "Organization" refers to all of groups, divisions/business units and subsidiaries and to all of their respective divisions/business units and subsidiaries.

Organizational Identification

In carrying out your duties as a member of a Capability Determination team, you will be called upon to perform the Capability Determination Methods for Evaluations, as defined by Carnegie Mellon University, within a specified Organizational Unit. The Organizational Unit, and its parent organization (if different), planned for this evaluation are identified below.

NAME OF ORGANIZATIONAL UNIT

NAME OF ORGANIZATION

CONFLICT OF INTEREST DISCLOSURE FORM FOR CAPABILITY DETERMINATION TEAM MEMBERS

AsIn carrying out your duties as a member of a Capability Determination Team performing an Evaluation, you will be called upon to perform the Capability Determination Methods, as defined by Carnegie Mellon University. In such cases, your personal financial interests or your affiliations or relationships with other affected persons or entities may raise conflict-of-interest questions. Your designation as an Authorized Lead Evaluator, Authorized Evaluator, or Capability Determination Team member requires that you be aware of potential conflicts that may arise.

By providing the information requested on this form, you will satisfy a requirement of ITSqc's Code of Professional Practice and help ITSqc identify and resolve potential (and apparent) conflicts. For each of the four parts below list all interests, positions, arrangements, or relationships to the best of your knowledge and belief. If you have none, check the "NO" box.

Where more space is required for your answers, please attach additional sheets to this Disclosure Form. All terms marked by an asterisk are defined in the section of this document entitled "Definition of Terms" above.

When you have completed all four parts, you must complete and sign this Disclosure in the "YOUR DECLARATION" section. You must return your completed statement to the Determination Team Lead responsible for the planned Capability Determination before you serve on the Capability Determination Team. Your Determination Team Lead will tell you the deadline by which they must receive this Disclosure Form. Please return this form to the Determination Team Lead in a sealed envelope.

Part 1: Prior Contact

1. To your knowledge or belief, are you or is any member of your Immediate Family* a director, officer, sole owner, partner or employee or agent of, or consultant or advisor to, the Organizational Unit* or its Organization*?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2. Are you a current employee of the Organizational Unit* or its Organization*?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3. Are you a former employee of the Organizational Unit* or its Organization*?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4. Are you now serving, or have you served, as an advisor, consultant, or special employee (for example, as a member of an advisory board, panel, or committee) to the Organization*?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5. Have you been involved in providing self-appraisal services or improvement or consulting efforts or delivering training services directly related to the reference model for this Organizational Unit* or its Organization* in the past thirty-six (36) months?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
7. If any of your answers to Questions 1 through 6 is "Yes," please describe:		
a. What is the latest date of this relationship?	Month _____	Year _____
b. Description of relationship, services, or duties:		
8. Are you or is any member of your Immediate Family* now, or have you or has any member of your Immediate Family* been within the past thirty-six (36) months, involved in any business relationships with this Organizational Unit* or its Organization*?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
9. If you answered "Yes" to question 8, please provide a complete description of the duties or participation identified. (Attach additional pages, if necessary.)		

Part 2: Financial Interests

10. Do you or does any member of your Immediate Family* have any direct or indirect Financial Interest* in any entity that could be affected by your participation in this Capability Determination Team or the outcome of the Capability Determination for the Organizational Unit,* including holdings in the Organization?* ☐ Yes ☐ No

EXAMPLE: Does your spouse hold stock in the Organization* or a direct competitor?

11. If you answered "Yes" to question 10, please provide a complete description of the Financial Interest.* Identify the Financial Interest. Be specific in identifying the specific business, stock, bond, etc. (Attach additional pages, if necessary.)

1.

2.

3.

4.

5.

6.

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10.

11.

12.

Part 3: Positions and Arrangements

12. If any entity with which (i) you are now Connected*, (ii) you are negotiating to become Connected*, or (iii) you have arrangement to become Connected* in the future has financial interests that could be affected by your participation in Capability Determination Team or the outcome of the Capability Determination for the Organizational Unit* – please describe all such interests. ☐ Yes ☐ No

EXAMPLES: (1) Is your employer directly negotiating with the Organization for improvement consulting or other business? If so, identify the interest or issue involved.

13. If you answered "Yes" to question 12, please provide a complete description of each relationship. (Attach additional pages, if necessary.)

Identify specific organization, or entity	Type of position, arrangement or other connection	Interest or issue involved
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

Part 4: Other Interests or Relationships

14. Are you aware of any other interests, affiliations, relationships, gifts, or personal benefits that you reasonably believe would: ☐ Yes ☐ No

- impair your impartiality in any Capability Determination actions, or
- reasonably appear to be a conflict of interest, or
- cause a reasonable person with knowledge of the relevant facts to question your impartiality in such matters?

EXAMPLE: Does your best friend stand to benefit by a change in the certification status of the organizational unit? If so, briefly describe.

1.

2.

3.

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12.

Your Declaration

- (1) I have entered required responses to the above questions to the best of my knowledge and belief.
- (2) I certify that my answers to the above questions are complete and true to the best of my knowledge.
- (3) I have read and understand the ITSqc Code of Professional Practice, particularly as it relates to the potential conflicts of interest noted above.
- (4) I agree to promptly notify Carnegie Mellon University, in writing, of any changes to the foregoing answers. I also understand that I must contact the Determination Team Lead and ITSqc if a conflict exists or arises during my term of service.
- (5) I also will not divulge any confidential information which I may become aware of during my participation on this Capability Determination Team and agree to comply with the terms of the separate non-disclosure agreement signed by the Lead Evaluator for this Capability Determination.

PRINTED NAME

ADDRESS

CITY, STATE AND POSTAL CODE

COUNTRY

(COUNTRY CODE) (AREA CODE) TELEPHONE NUMBER

EMAIL ADDRESS

SIGNATURE

DATE

Certification By Responsible Carnegie Mellon Official

Based on my review of this Disclosure Statement, I certify that:

- ☐ No conflicts were identified.
- ☐ Waiver granted on the basis set forth below.
- ☐ Other actions taken (explain.).

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

PRINTED NAME

TITLE

SIGNATURE

DATE _____

this page intentionally left blank.

Attachment 3 – Capability Determination Agreement

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INSTRUCTIONS FOR COMPLETING THE CAPABILITY DETERMINATION AGREEMENT

This Capability Determination Agreement (CDA) should be prepared by the Determination Team Lead (DTL) once they have clarified and documented all Determination requirements. This Determination Agreement incorporates commitments and obligations of the Sponsor, Appraised Organization, and Determination team, including terms and conditions for non-disclosure. This agreement also summarizes the scope, schedule, and conditions under which the Capability Determination will be conducted, and specifies deliverables resulting from the Determination.

Concurrent with the completion and approval of this Capability Determination Agreement, the DTL has developed a Capability Determination Plan, which addresses the following areas:

- Marketplace: market, competition, share
- Organization Goals: business drivers, success criteria
- Organization History: age, growth, focus, business shifts (changes)
- Organization Size: people, divisions, sales
- Location(s): dealing with one or multiple sites
- Structure: management levels, where will you be working

The DTL obtains agreement and sign-off of this Capability Determination Plan from the Sponsor (and Senior Manager, if necessary) prior engaging in detailed Determination planning. The Plan is referenced in this agreement, but is managed as a separate document, because it will have a distribution limited to the Sponsor, Senior Manager, DTL, Site Coordinator(s) and Determination Team Members.

This agreement will contain the following attachments, if they are relevant to this Capability Determination:

- Non-disclosure agreements
- Confidentiality agreements

Absent these attachments the confidentiality provisions of the Code of Professional Practice will apply to the Capability Determination. When this agreement is sent to the ITSqc for a Full Evaluation or Mini-Evaluation, the Conflict-of-Interest Disclosure Forms that have been completed by each proposed Capability Determination team member will be submitted to ITSqc by the DTL along with this signed agreement.

The stakeholders must review and concur with this Capability Determination Agreement, giving their approval through a written signoff.

The organizations identified in Section 2 will be involved in an eSCM Capability Determination. The characteristics of this planned Capability Determination are:

Note

This should reflect the version number of the eSCM Capability Determination Method Team Member Guide.)

Note

See Section 4.3 of the Plan. Any modification to the capability determination method must be documented and the reasons for such modification approved by the ITSqc prior to review with the evaluation sponsor. In particular, any tailoring of the Capability Determination method will be documented and the reasons for tailoring explained to the Organizational Unit.)



2 INVOLVED ORGANIZATIONS

The organizations identified in this section will be involved in this eSCM Capability Determination.

NOTE
Add additional signature
pages as needed.

Sponsor	
NAME	
TITLE	
ORGANIZATION	
POSTAL / SHIPPING ADDRESS	
TELEPHONE	
FAX	
EMAIL	
Senior Manager of the organization undergoing the Capability Determination (If different from the Sponsor identified above.)	
NAME	
TITLE	
ORGANIZATION	
POSTAL / SHIPPING ADDRESS	
TELEPHONE	
FAX	
EMAIL	
Determination Team Lead (DTL)	
NAME	
TITLE	
ORGANIZATION	
POSTAL / SHIPPING ADDRESS	
TELEPHONE	
FAX	
EMAIL	

COMMITMENT AND OBLIGATIONS OF INVOLVED ORGANIZATIONS

3.1 Sponsor

3.1.1 Prior to / During the Capability Determination:

The Sponsor sets the business objectives and context for why the Determination is happening. The Sponsor also provides the resources and support necessary for this Capability Determination to happen.

The Sponsor must approve the Capability Determination Plan, and must sign this Capability Determination Agreement.

3.1.2 Following the Capability Determination:

3.1.2(a) Request for Certification

On completion of a Full Evaluation for Certification, the sponsor is responsible for preparing and submitting the Request for Certification, which includes the:

- Sponsor Letter
- Payment of Certification Fees (if not previously received by ITSqc)

.....▶
Note

The cost for certification is currently set at \$25,000 U.S. Dollars.

The Sponsor Letter must be submitted on organizational letterhead and be signed by an authorized representative from the organization's senior management. The Sponsor Letter is a letter requesting certification of the named organization at eSCM Capability Level (n). When the Sponsor and Senior Manager are from the same organization, this letter should also attest to the accuracy of the evaluation and document the organization's commitment to continue the evaluated processes throughout the certification period.

The Sponsor Letter should also state that no public announcement of the results is requested, if the organization does not want to be listed on the Carnegie Mellon website. The organization should understand that negative results are not published in any case, and all positive outcomes resulting in certification WILL be posted on the Carnegie Mellon website, unless specifically requested, in writing, to be omitted from the ITSqc web listing.

The Request for Certification must be submitted to the ITSqc not later than 1 month after the completion of the evaluation onsite phase (i.e., not later than 30 days after the Preliminary Findings Presentation). It may be submitted to ITSqc directly by the organization, or can be included in the Capability Determination Data Submittal, which is submitted by the Determination Team Lead.

3.1.2(b) Compliance

Sponsoring organization agrees to comply with the requirements of the ITSqc Code of Professional Practice, specifically those sections describing the responsibilities of an ITSqc-Certified Organization with respect to:

- Advertising, marketing, solicitation and promotion, including ITSqc requirements on the use of the eSCM certified organization mark, and
- Compliance, including requirements to notify ITSqc of significant changes which may impact their certification status.

Certified organizations are required to promptly notify the ITSqc, in writing, within 30 days of any of the following events:

- Any major changes in processes or other changes which may affect conformity with the Reference Model
- Any changes significantly affecting the activity and operation of the Organization (such as change of ownership, changes in personnel or technology or infrastructure)

The ITSqc will conduct reassessments of certified organizations in the event of changes significantly affecting the activity and operation of the certified organization (such as change of ownership, changes in personnel or equipment), or if analysis of a complaint or any other information indicates that the certified organizations no longer complies with the requirements of the certification body.

3.2 Senior Manager of the organization undergoing the Capability Determination

(If different from the Sponsor identified above.)

3.2.1 Prior to / During the Capability Determination:

The Senior Manager(s) from the site(s) is required to participate in the process (e.g., initial and preliminary findings briefings). Senior Manager(s) makes resources available and enables access to site resources, including facilities, people and documents, needed for the Capability Determination to happen.

In many cases, the Sponsor and Senior Manager are the same individual. In those cases where they are not the same individual, the Senior Manager(s) must approve the Capability Determination Plan, and must sign this Capability Determination Agreement.

3.2.2 Following the Capability Determination:

3.2.2(a) Request for Certification

On completion of a Full Evaluation for Certification, the sponsor is responsible for preparing and submitting the Request for Certification. When the Sponsor and Senior Manager are NOT from the same organization, the Senior Manager must submit a letter to ITSqc that attests to the accuracy of the evaluation and documents the organization's commitment to continue the evaluated processes throughout the certification period.

3.2.2(b) Compliance

A self-appraisal's results are owned by the self-appraisal sponsor; accordingly, the sponsor may publicize this information at their discretion. However, as a self-appraisal does not result in certification, ITSqc will take action against those organizations who claim certification or attainment of any capability level as a result of a self-appraisal. The ITSqc will not publish or "certify" any self-appraisal findings or capability levels nor does the ITSqc confirm or deny that any organization has performed a self-appraisal.

Certified organizations agree to comply with the requirements of the ITSqc Code of Professional Practice, specifically those sections describing the responsibilities of an ITSqc-Certified Organization with respect to:

- Advertising, marketing, solicitation and promotion, including ITSqc requirements on the use of the eSCM certified organization mark, and
- Compliance, including requirements to notify ITSqc of significant changes which may impact their certification status.

Certified organizations are required to promptly notify the ITSqc, in writing, within 30 days of any of the following events:

- Any major changes in processes or other changes which may affect conformity with the reference model
- Any changes significantly affecting the activity and operation of the organization (such as change of ownership, changes in personnel or technology or infrastructure)

The ITSqc will conduct reassessments of certified organizations in the event of changes significantly affecting the activity and operation of the certified organization (such as change of ownership, changes in personnel or equipment), or if analysis of a complaint or any other information indicates that the certified organizations no longer complies with the requirements of the certification body.

3.3 Determination Team Lead

Prior to / During the Capability Determination:

- The Determination Team Lead (DTL) is responsible for planning, conducting, and reporting the results of a Capability Determination. The DTL negotiates with senior management regarding when and how the Capability Determination steps are performed to minimize disruption to the organization(s) participating in the Determination. A signed agreement (this agreement) results from this negotiation and must be obtained before beginning the Capability Determination.
- The Capability Determination Plan, along with Conflict of Interest Disclosure Forms for each Capability Determination team member, shall be supplied to the ITSqc. Submission of these materials is required for Full Evaluations and is recommended for Mini-Evaluations. Such plans must reach ITSqc at least 30 days prior to the beginning of the capability determination. The Conflict of Interest Disclosure Forms must be received at least 30 days prior to the beginning of the Capability Determination and are reviewed by the Carnegie Mellon's counsel and/or the ITSqc in advance of an Evaluation.
- The DTL leads the Capability Determination Team in performing the planned Capability Determination in accordance with the approved Capability Determination Plan. As an ITSqc-Authorized Lead Evaluator, the DTL will conduct the Capability Determination according to the plans developed and approved.
- All Capability Determination interventions are to be performed as defined by the ITSqc through published method documentation and training. The Capability Determination method selected will be performed in accordance with the ITSqc Code of Professional Practice, including the Code of Professional Ethics (see Appendix C – Code of Professional Ethics), the guidelines provided during the Lead Evaluator authorization process, and materials provided to the DTL's Authorized Organization for use in Capability Determinations.

Following the Capability Determination:

- Results of Capability Determinations are documented and made available as described in the descriptions of the Capability Determination method. Each Capability Determination intervention defines a set of documentation that will be submitted to the ITSqc for inclusion in the repository and for use in improving the reference models and Capability Determination methods.
- Lead Evaluators will complete the final report and supporting documentation and will submit Full Evaluation Results and results from other Capability Determinations to ITSqc. Results of evaluations and self-appraisals are reported to ITSqc for inclusion in the repository. Authorized Lead Evaluators are required to provide a report to the ITSqc for each completed capability determination.
- Determination Team Leads must submit their results to ITSqc. This submittal must be made to the ITSqc not later than one month (30 days) after the completion of the Preliminary Findings Presentation.
- Following completion of a Full Evaluation for certification, the organization's Request for Certification is supported by this Capability Determination Data Submittal which must be submitted by the DTL to the IT Services Qualification Center (ITSqc). The organization's Sponsor letter (Request for Certification) can be sent separately by the sponsor or included in this submittal package submitted by the Lead Evaluator.

The Capability Determination Data Submittal includes:

- Evaluation Team Letter
- Evaluation Final Report
- Any additional data provided by the site during the 15 days following the Preliminary Findings
- Guidance/Artifact List/Log. This document listing must contain ALL of the mappings that are included in the Detailed Observations data.
- Detailed Observations data (consisting of the evaluation tool database, including all relevant spreadsheets or other readable files).
- Preliminary Findings Presentation
- Close gaps report

- Determination Plan. This plan should be already submitted for approval, but an as-executed plan and detailed schedule is required after the evaluation.
- Final Evaluation schedule (including actual time spent on all evaluation activities)
- A sampling of relevant organization documents, including policies, procedures, service artifacts, and reports
- In addition, the DTL should forward the Request for Certification, if not submitted separately by the Sponsor.
- Evaluation feedback forms from:
 - site coordinator
 - determination team members (if not submitted to ITSqc by DTM)
- Participation Reports (one from each Determination Team Member)
- DTM timesheets

The Evaluation Team Letter is a letter to ITSqc from the DTL that attests that:

- On (the specified dates) a Capability Determination team comprised of (specified team members) performed an eSCM Full Evaluation for Certification on (organization).
- The Capability Determination team was composed of: (list members) and was led by (name of DTL).
- The Capability Determination team followed the evaluation method and principles as prescribed by ITSqc.
- The Capability Determination team believes that the evaluation results fairly and honestly reflect the current status of this organization.
- The (Organization) was found by this Capability Determination team to be eSCM Capability Level (n).

The Evaluation Team Letter must be submitted on organizational letterhead of the DTL's Authorized Organization and be signed by the Determination Team Lead. This letter is also normally signed by all evaluation team members; however, it is permissible for the actual letter to be signed by only the Determination Team Lead and accompanied by signed, hardcopy originals of the Determination Team Member Participation Report, each signed by a team member.

4 DISCLOSURE OF CERTIFICATION RESULTS

Once the ITSqc receives this Capability Determination Data Submittal for a Full Evaluation for Certification, an ITSqc Certification Board will be convened to review the results of the certification. This certification board at the ITSqc rigorously reviews the Capability Determination record before the ITSqc issues a certificate of capability. Certification Board activities leading to a certification decision will be completed within thirty (30) days of the receipt of a complete Capability Determination Data Submittal, Request for Certification, and the Sponsor Letter and payment.

For completed Full Evaluations, ITSqc will issue the appropriate certification document and provide this information to the Lead Evaluator, the sponsoring organization, and to the service providers involved, if appropriate. Model Version is recorded as part of the Certification Information.

On completion of the Certification Board's review, an organization is either certified or not. If certified, the organization will receive a notice of certification letter and a Carnegie Mellon certificate with the organization's certification validity dates included. When approved by the Certification Board, Certificates of Capability will be issued by the ITSqc for a period of two years. These certifications shall remain in effect during this entire period, except as addressed by a change in status and a resulting mini-evaluation which may affect the certification. (Refer to the ITSqc Code of Professional Practice regarding these surveillance audits.) Certificates of Capability do not automatically extend or renew. A Full Evaluation must be completed to obtain a new Certificate of Capability.

Until the ITSqc informs the Determination Team Lead and sponsor of the Certification Board's decision, Determination Team Leads or Capability Determination team members may not announce evaluation results or certification. As the Certifying Body, only the ITSqc will release evaluation results. Once this review is completed, the organization receives notice of regarding its certification status, and, if warranted, a certificate is issued. The Carnegie Mellon website is updated to reflect newly certified (re-certified) organizations.

ITSqc publishes a list of certified organizations. Organizations receiving a Certificate of Capability will be listed on the ITSqc website. The main location for the current published list will be the Carnegie Mellon website - but other methods of distribution may also be used.

The following information will be reported on the ITSqc website:

- Organization Name
- Span or units included in the Capability Determination
- Address(es of the units)
- Capability Level Achieved
- Practices Provisionally Satisfied, Not Rated, Not Applicable
- Authorized Organization performing the Capability Determination
- Organization's contact links:
 - Name (of contact person)
 - Email (for more information)
 - Web address (URL)

The organization should understand that negative results are not published in any case, and all positive outcomes resulting in certification WILL be posted on the Carnegie Mellon website, unless specifically requested, in writing, to be omitted from the ITSqc web listing. The ITSqc posts results of certification actions on its website, unless an organization requests that their results not be posted.

ITSqc will answer inquiries requesting the certification status of an organization.



5 ATTACHMENTS AND AGREEMENTS

By signing the document below, you indicate that you agree and concur with the content and attachments of the Capability Determination Agreement.

Attachment A: Non-Disclosure Agreements

Please attach all completed Non-Disclosure Agreements for the Capability Determination Agreement.

Attachment B: Conflict-of-Interest Disclosure Forms

Please attach all completed Conflict-of-Interest for the Capability Determination Agreement.

NOTE
Add additional signature
pages as needed.

Sponsor Approval		
Do you confirm that all applicable Non-Disclosure Agreements are attached.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you confirm that all applicable Confidentiality Agreements are attached.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Certification results may be posted to the ITSqc Website.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Based on my review of this Capability Determination Agreement, I certify that I agree and concur with the content and attachments of the Capability Determination Agreement.		
<hr/>		
SPONSOR NAME		
<hr/>		
TITLE		
<hr/>		
SIGNATURE		DATE
<hr/>		<hr/>
<hr/>		
Senior Manager(s) Signature(s) Approval		
Do you confirm that all applicable Non-Disclosure Agreements are attached.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you confirm that all applicable Confidentiality Agreements are attached.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Certification results may be posted to the ITSqc Website.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Based on my review of this Capability Determination Agreement, I certify that I agree and concur with the content and attachments of the Capability Determination Agreement.		
<hr/>		
MANAGER NAME		
<hr/>		
TITLE		
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SIGNATURE		DATE
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MANAGER NAME		
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Attachment C: Conflict-of-Interest Disclosure Forms

The attached Conflict-of-Interest Disclosure Forms have been completed by each proposed Capability Determination team member (preparer), including the Determination Team Lead, and are submitted to the ITSqc for review.

.....►
NOTE
These Conflict-of-Interest Disclosure Forms are NOT required to be submitted for Self-Appraisals.

These Conflict-of-Interest Disclosure Forms are NOT required to be shared with any individual other than the preparer and the ITSqc. They should be submitted to the ITSqc, along with this signed Capability Determination Agreement and the Capability Determination plan.

Final Approval by the Determination Team Lead		
Applicable Conflict-of-Interest Disclosure Forms are attached.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Based on my review of this Capability Determination Agreement, I certify that I agree and concur with the content and attachments of the Capability Determination Agreement.		
<hr/>		
PRINTED NAME		
<hr/>		
TITLE		
<hr/>		
SIGNATURE	DATE	
<hr/>	<hr/>	