CMMI® Appraisal – CMMI Appraisal System Usage Policy

Purpose

This policy defines the parameters and requirements for reporting CMMI appraisals to ISACA via the CMMI Appraisal System (CAS).

Scope and Applicability

This policy is applicable to all Candidate and Certified CMMI Lead Appraisers (LAs) and their sponsoring CMMI Partner organizations for the planning and reporting of CMMI Benchmark, Sustainment, and Evaluation Appraisals. CMMI Partners are responsible for maintaining current knowledge of ISACA policies and CMMI Method Definition Document (MDD) requirements, and for ensuring that each certified individual sponsored under their partner agreement adheres to these policies and requirements.

Background

CAS provides the facility for LAs to plan, record, and report each CMMI appraisal they lead. Use of this system enables the standardization of appraisal data reporting and is intended to reduce the overall effort required to maintain appraisal records. This standardization provides for more timely and consistent data analysis and data reporting to stakeholders and constituents.

For information about requesting a Randomly Generated Sample (RGS), refer to the *Random Sample Generation Policy* (PA005).

Policy Implementation Detail

The following appraisal reporting practices are required:

- If an RGS is requested for an appraisal, the Appraisal Team Leader (ATL) is required to establish a new appraisal record in CAS a minimum of 35 calendar days before the start of the Conduct Appraisal Phase (Phase 2). No waivers to this requirement will be granted.
- If performing an Evaluation Appraisal that will not appraise against an RGS, the ATL must create the new CAS record a minimum of 30 calendar days before the start of Phase 2.

  o If an Evaluation Appraisal record must be created fewer than 35 days before the start of Phase 2, an RGS cannot be created for it.
  o If an Evaluation Appraisal record must be created fewer than 30 days before the start of Phase 2, a request for a waiver must first be sent to and approved by ISACA Quality Management.

- When entering an appraisal into CAS, a predetermined minimum data set is required by the system. In addition to that data set, ISACA requires that an ATL enter the following details into CAS a minimum of 30 calendar days prior to the start of Phase 2:
    - The Appraisal Sponsor(s)
    - The legal name(s) of the Organization(s) performing project-level work in the Organizational Unit(s) (OU)
    - The name(s) of the OU(s) subject to the appraisal
        - An OU name cannot contain the Organization's name
    - Accurate location information for Phase 2
    - Denoting whether the appraisal will be performed virtually (including all virtual activities)
- Appraisal Team Members (ATMs) are required to be added to the CAS record at least seven calendar days prior to the start of Phase 2.
- All remaining elements of the appraisal plan must be entered at least one calendar day before Phase 2 begins. This means that every field in the CAS record, except the rating fields, must be completed before the start of Phase 2.
- Significant revision to the appraisal plan, e.g., a change to the appraisal scope, requires the signed approval of the appraisal sponsor.

Detailed instructions for completing each section of an appraisal record are in the CAS Video Tutorial Series which is available throughout CAS (refer to the "Section Help" button at the top of each page while setting up an appraisal) and in the CMMI Resource Center.

Violations of this policy will result in corrective action up to and including termination of CMMI Certification Credentials and CMMI Partner Licenses per the *Corrective Action Policy* (PQ002).

Additional References

- Questions regarding this policy should be submitted via support.isaca.org.
- CAS can be found here: https://cmmiinstitute.com/appraisals-sys
- All ISACA CMMI policies can be found on the policy page: https://cmmiinstitute.com/partners/policies

Revision History

Version Number	Date Published	Date Effective	Changes
V1.2	26 October 2021	30 September 2019	Updated to ISACA branding; minor grammar and readability edits
V1.1	17 January 2020	30 September 2019	Policy number changed from PA011 to PA010
V1.0	30 September 2019	30 September 2019	Initial version

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