



# CMMI® Appraisal - Random Sample Generation Policy

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## Purpose

This policy defines the rules surrounding the Randomly Generated Sample (RGS) process created by ISACA for CMMI appraisals.

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## Scope and Applicability

This policy applies to all CMMI appraisal deliveries for which an RGS is generated and replaces Policy 2019-0101, *Random Sample Generation*.

All CMMI Partners and Certified CMMI Lead Appraisers (LAs) are subject to the requirements of this policy. CMMI Partners are responsible for maintaining current knowledge of relevant 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.

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## Background

The RGS is an organizational sample created by the CMMI Appraisal System (CAS) and then provided to the Appraisal Team Leader (ATL). An RGS is required for Benchmark and Sustainment Appraisal deliveries and is based on information about the projects and support functions being appraised in the Organizational Unit (OU). An RGS is not a requirement to deliver an Evaluation Appraisal; however, an RGS may be generated at the OU's and LA's discretion. Random samples for Sustainment Appraisals will only be generated based on the projects appraised in the Benchmark Appraisal that preceded it.

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## Policy Implementation Detail

The RGS can be requested a maximum of 60 calendar days and a minimum of 35 calendar days in advance of the Conduct Appraisal Phase (Phase 2). Sample requests submitted less than 35 days in advance will not be provided, in which case the Conduct Appraisal Phase must then be rescheduled. If an Appraisal Sponsor would like a specific project to be included in the RGS, that request must be submitted with the initial request for an RGS.

LAs have only three opportunities to finalize an RGS:

- The initial RGS can be accepted as the final sample to be used on the appraisal; if rejected,
- A second sample can be requested and accepted as final; if rejected,

- A third sample can be requested, but the third sample cannot be rejected; the LA must appraise against that sample. If this sample is not acceptable to the LA, a new appraisal record must be created, and the new RGS must meet all timeline requirements outlined in this policy.

No further opportunities to regenerate a sample will be considered. ATLs are permitted to add to the sample at any time, provided that the additional projects were included in the overall project list initially submitted to ISACA. If the ATL and Appraisal Sponsor find there is business value in evaluating an entire project or additional Practice Areas (PAs) beyond those identified in the sample, they can be added to the sample scope. When the LA and Appraisal Sponsor agree that the sample is accepted and all additions are included, no further changes will be considered. Please refer to Activity 1.1.4 in the MDD for further details on RGS requirements.

No waivers will be granted to this policy. If an appraisal is delayed for business reasons beyond 30 days from the initial Phase 2 start date, a new RGS must be requested and created.

Violations of this policy will result in corrective action up to and including termination of CMMI Partner Certification Credentials and CMMI Partner Licenses. Violations of this policy may also result in rejection of appraisal results or published appraisal results being removed from the Published Appraisal Results Site (PARS).

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### Additional References

- PARS can be found at <https://cmmiinstitute.com/learning/appraisals/results>
- Questions regarding this policy should be submitted via [support.isaca.org](mailto:support.isaca.org)
- Published Policies are available at [cmmiinstitute.com](https://cmmiinstitute.com/partners/policies) on the policy page: <https://cmmiinstitute.com/partners/policies>

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### Revision History

Version Number	Date Published	Date Effective	Changes
V1.3	26 October 2021	01 January 2019	Updated to ISACA branding; minor grammar and readability edits
V1.2	30 September 2019	01 January 2019	Updated format & structure
V1.1	30 August 2019	01 January 2019	Renamed, updated to standard policy numbering and formatting, fixed grammatical errors
V1.0	01 January 2019	01 January 2019	Initial release