



CMMI® Appraisal - Appraisal Delivery Limits Policy

Purpose

This policy defines the maximum number of Benchmark and Sustainment Appraisals a Certified CMMI Lead Appraiser (LA) may deliver in a specified timeframe.

Scope and Applicability

This policy applies only to Benchmark and Sustainment Appraisals. CMMI Evaluation Appraisals are not subject to the limits set forth in this policy.

All CMMI Partners and Certified CMMI LAs are subject to the requirements of this policy. CMMI Partners are responsible for maintaining current knowledge of relevant ISACA policies and guidelines and for ensuring that each certified individual sponsored under their partner agreement adheres to these policies and guidelines.

This policy replaces Policy 0023-R, *Annual Limit for Benchmark and Sustainment Appraisal Deliveries*.

Background

A key principle of CMMI appraisals is to provide useful and actionable insight into an organization's processes to enable real improvement and predictable project performance. Appraisal plans must clearly convey business and appraisal objectives, appropriate tailoring, risk management, team composition, training, schedules, and other appraisal activities and deliverables that reflect the unique elements of each appraised organization. With so many factors influencing process implementation within an organization, LAs must invest the time necessary to thoroughly understand an organization and its processes as well as plan and manage the appraisal. This policy establishes an annual limit to the number of Benchmark or Sustainment Appraisals an LA can conduct to ensure adequate care and rigor is taken to plan for, manage, and credibly assess an organization's capabilities.

Policy Implementation Detail

In the context of this policy, performance of any part of the Conduct Appraisal Phase of a Benchmark or Sustainment Appraisal constitutes performance of an appraisal.

- The maximum number of Benchmark and/or Sustainment Appraisals a Certified CMMI LA is permitted to deliver is a cumulative total of 16 per calendar year.
- No more than four Benchmark and/or Sustainment Appraisals may be performed in a 60-calendar day period.

- All appraisal deliveries must be performed under written agreement between the appraised organization and an active CMMI Partner in good standing. “In good standing” means a status maintained by CMMI Certified Individuals and CMMI Partners by adhering to all the terms and conditions in both ISACA’s License and Certification Agreements and by paying all fees billed by ISACA.

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)*.

Additional References

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

Revision History

Version Number	Date Published	Date Effective	Changes
V1.3	9 November 2021	01 January 2019	Removed CMMI 1.3 references; updated to ISACA branding; minor readability and grammar 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
V1.0	01 January 2019	01 January 2019	Initial release