



CMMI[®] Appraisal - Sponsor Role and Responsibilities Policy and Agreement

Purpose

This policy and agreement ("SRR Policy and Agreement") defines the role of the Appraisal Sponsor as it pertains to a CMMI Appraisal and the rules and responsibilities that are applicable to that role and constitutes a legal agreement between the Appraisal Sponsor, Appraised Organization, and the Information Systems Audit and Control Association, Inc. ("ISACA").

Scope and Applicability

This policy applies to Appraisal Sponsors for all CMMI Benchmark, Sustainment, and Evaluation Appraisals, and Action Plan Reappraisals ("APRs") and appraisals for all other CMMI certifications (each an "Appraisal").

Background

An "Appraised Organization" is an organization being appraised by a company that is subject to an active Universal License Agreement with ISACA ("CMMI Partner") for the purpose of being evaluated to determine whether it meets a CMMI Maturity Level or other CMMI methodology or standard (an "Appraisal"), and being entitled to promote itself as having achieved the corresponding Appraisal result. An "Appraisal Sponsor" is an individual who represents, and has the necessary authority to legally bind and commit, an "Appraised Organization" to this policy, and to contract for and conduct an Appraisal.

The Appraisal Sponsor, as the legal representative of the Appraised Organization, acknowledges and agrees that all Appraisals and the Appraised Organization are subject to and must comply with each of ISACA's CMMI policies and are required to sign and commit their organization to the CMMI Appraisal requirements, Intellectual Property requirements, and all CMMI and ISACA policies. Appraisal Sponsors provide financial, staffing, or other resources to carry out the performance improvement efforts and Appraisals in their Appraised Organization.

Appraisal Sponsors, whether internal or external to the Appraised Organization, are the organizational contacts whom ISACA notifies regarding Appraisal activities and obligations. The Appraisal Sponsor is also the person who provides approval, acceptance, or obligations on behalf of the Appraised Organization. The Appraisal Sponsor's signature on this Appraisal Sponsor Role and Responsibilities Policy and Agreement means that the Appraisal Sponsor understands, agrees to, and fully accepts the responsibilities listed in this document, and legally binds, commits, and obligates the Appraised Organization to abide by ISACA's CMMI and other policies.

It is important that the Appraisal Sponsor understands the responsibilities related to this role. All organizations planning to be Appraised Organizations or underwrite an Appraisal of an external organization for procurement or due diligence purposes must identify an individual to be an Appraisal Sponsor. This individual must have the authority to make decisions and accept the responsibilities outlined in this document. These responsibilities cannot be delegated to another individual. The Appraisal Sponsor must be available to the Appraisal Team Leader (“ATL”) for all communications related to the planning, conduct, submission, review, and post-Appraisal reporting phases of the Appraisal as well as for any audits of such Appraisal.

Appraisal Sponsors and ATLs must ensure that both the Appraisal plan and this SRR Policy and Agreement are signed, either physically and uploaded to the CMMI Appraisal System (“CAS”), or directly through the CAS electronic signature functionality or other method designated by ISACA and submitted to ISACA prior to the Conduct Appraisal Phase. For example, other signature methods can include physically signing this SRR Policy and Agreement or affixing an official corporate seal used and recognized for signing all legal documents. Whatever method is used must be legally binding in the jurisdiction where the Appraisal is being conducted. No modifications to this SRR Policy and Agreement are permitted. In this SRR Policy and Agreement, the terms “signed,” “signature,” and “approved” mean that the Appraisal Sponsor has the organizational authority and responsibility to legally represent and commit the Appraised Organization to fully comply with the requirements in this SRR Policy and Agreement and all other ISACA Policies.

Policy Implementation Detail

Responsibilities during the Planning Phase of the Appraisal

Lead Appraiser Credentials and Partner Sponsorship

- Appraisal Sponsors must enter into a written agreement with an accredited CMMI Partner for the delivery of Appraisal services by certified CMMI Lead Appraisers (“LAs”) acting as the ATL. Only LAs certified by ISACA are eligible to deliver CMMI Appraisal services. Appraisal Sponsors seeking licensed Appraisal services are responsible for verifying the ATL’s certifications and sponsorships by visiting the CMMI Online Partner Directory. Appraisal results submitted to ISACA that have not been delivered under a written and approved agreement between a current certified CMMI Partner and the Appraised Organization will not be accepted, reviewed, or published and the Appraisal Sponsor acknowledges and agrees that the Appraised Organization is responsible for conducting its own research and selecting a CMMI Partner to conduct its Appraisal. Additionally, the Appraisal Sponsor acknowledges and agrees that the CMMI Partner under which the Appraisal is conducted must have an active Universal License Agreement in place with ISACA at the time Appraisal results are submitted or such Appraisal results will not be accepted, reviewed, or published.

CMMI License

- For CMMI Appraisals, the Appraisal Sponsor must ensure that the Appraised Organization has at least one current licensed copy of the CMMI Model. The Appraisal Sponsor works with the ATL to ensure that all Appraisal Team Members (“ATMs”) have

access to a licensed current version of the CMMI Model. The ATL must verify CMMI Model license status for both the Appraisal team and Appraised Organization.

Funding

- The Appraisal Sponsor ensures that all necessary resources and funding from the Appraised Organization are made available to conduct the Appraisal.

Organizational Focus

- The Appraisal Sponsor works with the ATL to define the Appraisal scope per the requirements of the then-current CMMI Method Definition Document (MDD) using organizational goals and parameters.
- Appraisal Sponsors ensure that the Organizational Unit(s) of the Appraised Organization (OU(s)) selected for participation in an Appraisal are clearly and accurately defined and recorded in the Appraisal plan. The Appraisal plan scope must be consistent with internal organizational documentation when describing the selected OU(s) to be appraised. The Appraisal Sponsor also clearly identifies the business objectives for the Appraised Organization and Organizational Unit(s) being appraised. ATLs facilitate the mapping of organizational objectives to Appraisal objectives.

Appraisal Team Member Training, Experience, and Accounts

- ATMs are responsible for performing the activities as assigned and identified in the Appraisal plan. ATMs must meet the minimum experience, training, and certification requirements as defined by the MDD and ISACA's CMMI policies.
- An individual is not permitted to serve as both an Appraisal Sponsor and an ATM on the same Appraisal.
- The Appraisal Sponsor works with the ATL to ensure that each ATM has the appropriate training and experience necessary to participate on the Appraisal.
- ISACA requires ATMs to register in CAS and maintain their own account.
- Sharing of any ISACA system accounts (e.g., CAS, Course Management System (CMS)), meaning use or access of an account by anyone other than the individual account holder, is prohibited by the ISACA CMMI Code of Professional Conduct ([COPC](#)) and policies.

Non-Attribution to Appraisal Participants and Projects

- All ATMs are expected to observe strict rules for confidentiality, including non-attribution of findings to Appraisal participants and projects and the protection of proprietary or sensitive data. Non-attribution to participants and projects means that individuals on the Appraisal team must not disclose the identity of people who have shared information during the Conduct Appraisal Phase or the projects for which appraisal findings are identified. A confidentiality and non-attribution agreement must be signed by the Appraisal Sponsor, ATL, Organizational Unit Coordinator (OUC) (if applicable), Registered Interpreter (if applicable) and ATMs. Non-disclosure statements are often used to formalize these understandings from a company perspective regarding proprietary or sensitive data.

Appraisal Plan

- The ATL and Appraisal Sponsor work together to develop an Appraisal plan. The Appraisal Sponsor's approval and signature on the Appraisal plan indicates awareness and agreement with the entire content of the Appraisal plan.

Conflicts of Interest

- Appraisal Sponsors work with the ATL to ensure that there are no real or perceived Conflicts of Interest (COIs) that could compromise the objectivity or integrity of the Appraisal. If a COI cannot be avoided, the Appraisal Sponsor works with the ATL to ensure that appropriate mitigation strategies are documented in the Appraisal plan and implemented accordingly and that all COIs are tracked and managed during the Appraisal delivery.

Required Signatures

- The Appraisal Sponsor must approve and sign three documents prior to the start of the Conduct Appraisal Phase:
 - Appraisal Sponsor Role and Responsibilities Acceptance Form, accepting and agreeing to the terms of this SRR Policy and Agreement;
 - Confidentiality and Non-Attribution Agreement; and
 - Appraisal plan
- The Appraisal Sponsor may choose one of the following methods for signature:
 - Log into CAS and sign electronically
 - Ask the ATL to provide a hard copy of one or more documents for signature; the ATL must then upload the signed document(s) into CAS

Responsibilities During the Conduct Appraisal Phase

Opening Briefings and Final Findings Presentations

- Appraisal Sponsors are required to attend the opening briefing and final findings presentations.
- If the Appraisal is being used for source selection or compliance verification, the Appraisal Sponsor may have additional responsibilities applicable to laws, regulations, and policies that affect how the Appraisal is planned and delivered.

Authentic Documents and Affirmations

- Appraisal Sponsors are responsible for ensuring that only authentic (i.e., the original work of the organization, not the work of a third-party) documents, artifacts, processes, policies, and affirmations are being appraised. For the avoidance of doubt, the artifacts and affirmations reviewed during the Appraisal must be produced, recorded, and used by people who have a current and active process role in the Appraised Organization.

Appraisal Feedback Form

- Submission of the Appraisal Sponsor's feedback form is optional (unless the ATL is a Candidate delivering an observed Appraisal). When performing this activity, Appraisal Sponsors are required to log into CAS and personally respond to the Appraisal feedback questionnaire.

Appraisal Audits

- ISACA conducts Appraisal audits to ensure the integrity and quality of Appraisals, results, and Appraisal method application. Audits can occur before, during, or after an Appraisal and may be performed randomly at ISACA's sole discretion or based on specific criteria, e.g., CMMI Policies or MDD requirements. Appraisal Sponsors are required to fully cooperate with audit activities, including, but not limited to, providing auditors with access to the organizational documentation and Appraisal interviewees to:
 - Assess the knowledge and capabilities of the ATL
 - Validate that the ATL correctly adhered to MDD requirements
 - Validate that the Appraisal was conducted in accordance with all applicable ISACA CMMI policies
 - Validate that the Appraisal was conducted by a Certified CMMI LA who is sponsored by a CMMI Partner organization in accordance with Partner Agreement requirements and that the Partner organization and the Certified CMMI LA are in good standing with ISACA
 - Validate that all Appraisal documents, artifacts, processes, policies, and affirmations are authentic as defined in the above subsection "Authentic Documents & Affirmations"

Responsibilities During the Reporting and Post-Appraisal Phase

Appraisal Submission and Review

- Each Appraisal must be submitted to ISACA through CAS for Quality Management review and acceptance.
- ISACA reserves the right to accept or reject recommendations for APRs as well as submitted Appraisal results for any type of Appraisal.
- ISACA, in its sole discretion, reserves the right to take all actions it deems appropriate if Appraisal results indicate that CMMI agreements, models, methods, guidance, and policies have not been followed, including, but not limited to, conducting an audit of or invalidating an Appraisal.

Required Signatures

- Appraisal Sponsors are required to sign two documents upon conclusion of the Conduct Appraisal Phase. The Appraisal Sponsor may choose one of the following methods for signature:
 - Log into CAS and sign electronically
 - Ask the ATL to provide a hard copy of one or more documents for signature; the ATL must then upload the signed document(s) into CAS

- The following documents require an Appraisal Sponsor’s signature during Phase 2:
 - Appraisal plan (if significant changes were made after the initial signature)
 - Appraisal Disclosure Statement

Appraisal Results Communication

- Appraisal Sponsors approve any distribution or communication of Appraisal outcomes and maintain the Appraisal Results Package. Appraisal outcomes cannot be advertised, used in response to a Request for Proposal (RFP), or published in a news release until they have been accepted by Quality Management.

Appraisal Marks

- Once an Appraisal has been approved by ISACA in writing under this SRR Policy and Agreement, ISACA grants the Appraised Organization a limited, revocable, non-exclusive, non-sublicensable license to use a CMMI Appraisal mark (the “Appraisal Mark”), where Appraisal Sponsors opt to have their Appraisal results published to ISACA’s Published Appraisal Results System (“PARS”). The Appraisal Mark identifies the model view, Appraisal reference number, expiration date, and maturity level, which serve to acknowledge the Appraisal delivery and acceptance by ISACA.
- The Appraisal Mark will be delivered to the Appraised Organization by email along with the CMMI Appraisal Announcement Guidelines which set forth the guidelines and restrictions for how the Appraised Organization is permitted and required to use the Appraisal Mark. ISACA may change or update the CMMI Appraisal Announcement Guidelines at any time by providing written notice to the Appraised Organization at which time the Appraised Organization must comply with the updated or changed CMMI Appraisal Announcement Guidelines.
- Appraisal Sponsors are responsible for ensuring that their organization follows the CMMI Appraisal Announcement Guidelines at all times. If Appraisal results are posted online, the Appraisal Mark must be published with a link to the PARS website, which is provided with the Appraisal Mark by ISACA.
- An Appraised Organization must immediately cease all use of an Appraisal Mark upon the expiration date listed in such Appraisal Mark or when earlier instructed to do so in writing by ISACA.
- Questions regarding Appraisal Marks and usage guidelines can be submitted via <https://support.isaca.org/>.

Appraisal Evidence

- The Appraisal Sponsor ensures that Appraisal evidence has been appropriately archived and protected for the duration of its validity— three years for Benchmark Appraisals and two years for Sustainment Appraisals.

Signature of Acceptance

- Appraisal Sponsors are required to acknowledge their understanding and acceptance of the responsibilities outlined in this document. The Appraisal Sponsor and the ATL are required to sign the Appraisal Sponsor Role and Responsibilities Acceptance Form found

on the last page of this document and submit the full document, including the signature page, with the final Appraisal record or sign electronically through CAS.

Liability for Appraisals and Disputes Regarding Appraisals

Appraisal Sponsor and the Appraised Organization acknowledge and agree that all decisions by ISACA regarding Appraisals are final and binding on the Appraisal Sponsor and the Appraised Organization, and Appraisal Sponsor and Appraised Organization hereby release, and agree to indemnify and hold harmless ISACA and its directors, officers, employees, and agents from and against any and all claims, damages, liabilities, costs, and expenses (including reasonable attorneys' fees and legal expenses) arising out of or related to any Appraisal including ISACA's determinations with respect to an Appraisal or Appraisal results and any claims brought by CMMI Partners, ATLS or ATMS involved in the Appraisal. Appraisal Sponsor and the Appraised Organization further acknowledge and agree that ISACA has no liability for any harm or loss of opportunity incurred by Appraisal Sponsor or Appraised Organization as a result of ISACA's determinations with respect to any Appraisal, Appraisal results, or CMMI partner status, including any Audits or delays that may occur as a result.

FINALLY, APPRAISAL SPONSOR AND THE APPRAISED ORGANIZATION ACKNOWLEDGE AND AGREE THAT (1) IN NO EVENT SHALL ISACA, ANY OF ITS AFFILIATES, OR ANY OF ITS DIRECTORS, OFFICERS, EMPLOYEES, AGENTS OR SUBCONTRACTORS, OR ANY THIRD-PARTY LICENSORS BE LIABLE UNDER ANY THEORY OF TORT, CONTRACT, STRICT LIABILITY OR OTHER LEGAL THEORY, FOR ANY LOST PROFITS, LOSS OF DATA, EXEMPLARY, PUNITIVE, SPECIAL, INCIDENTAL, INDIRECT OR CONSEQUENTIAL DAMAGES, EACH OF WHICH IS HEREBY EXCLUDED BY AGREEMENT OF THE PARTIES REGARDLESS OF WHETHER OR NOT ISACA HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES; AND (2) IN NO EVENT SHALL THE COMBINED MAXIMUM LIABILITY OF ISACA OR ANY OF ITS SUBCONTRACTORS ARISING OUT OF OR RELATING TO THIS AGREEMENT EXCEED \$100 USD REGARDLESS OF FORM, ARISING FROM OR RELATING TO AN APPRAISAL. THE FOREGOING REPRESENTS AN EXPRESS ALLOCATION OF RISK BETWEEN THE PARTIES.

All Appraisals and this SRR Policy and Agreement shall be governed by and construed in accordance with the laws of the State of Illinois, without giving effect to the principles of conflicts of laws thereof. Any action relating to this Agreement shall be instituted and prosecuted in a court located in Chicago, Illinois. Appraisal Sponsor and Appraised Organization hereby consent to the jurisdiction of any federal or state court sitting in Chicago, Illinois. Appraisal Sponsor and Appraised Organization specifically waive any right it may have or acquire to sue ISACA in a country other than the United States or anywhere outside of Chicago, Illinois. Notwithstanding the foregoing, Appraisal Sponsor and Appraised Organization agree that ISACA may institute or prosecute an action relating to the Appraisal or this SRR Policy and Agreement in the country and under the laws of the country where Appraisal Sponsor and Appraised Organization are located.

Additional References

- Questions regarding this policy can be submitted via <https://support.isaca.org>

- Published Policies are available at cmmiinsitute.com on the policy page: <https://cmmiinstitute.com/partners/policies>

Revision History

Version Number	Date Published	Date Effective	Changes
V3.1	6 April 2023	10 March 2022	Edited definitions and capitalization of defined terms
V3.0	10 March 2022	10 March 2022	Updated to ISACA branding; removed outdated references and updated content for consistency with CMMI Product Suite; minor grammar and readability edits; legal and liability language updated
V2.3	20 May 2020	30 August 2019	Updated structure
V2.2	30 September 2019	30 August 2019	Updated format & structure
V2.1	30 August 2019	30 August 2019	Updated for consistency with CMMI Appraisal System, and with CMMI Institute policy naming and formatting
V2.0	1 January 2019	1 January 2019	Updated to include V2.0 Appraisals and audit language
V1.0	1 December 2015	1 December 2015	Initial release; replaced Policy 0029-R, Appraisal Sponsor Role and Responsibilities

Appraisal Sponsor Role and Responsibilities Acceptance Form

The *Appraisal Sponsor Role and Responsibilities* Policy and Agreement is a legal agreement setting forth expectations and obligations for the Appraisal Sponsors and the Appraised Organizations.

By signing this document, individuals acting as Appraisal Sponsors acknowledge and agree that they have the legal authority to bind the Appraised Organization identified below, and that both the Appraisal Sponsor and the Appraised Organization understand and agree with the SRR Policy and Agreement, and take responsibility for ensuring that the Appraisal is performed in accordance with CMMI MDD requirements, this document, and all other applicable CMMI Policies.

Appraised Organization

Appraisal Sponsor Name

Appraisal Sponsor Signature

Date

Appraisal Team Leader Name

Appraisal Team Leader Authorized CMMI Partner Organization

Appraisal Team Leader Signature

Date

This document must be submitted with the original Appraisal record and must be signed by each Appraisal Sponsor identified within the Appraisal plan, as defined in CAS.