

Appraisal Delivery Limits Policy - Waiver Request Process

ISACA reviews requests for waivers to [Policy PA004](#) concerning the requirement that a Lead Appraiser (LA) perform no more than four Benchmark and/or Sustainment Appraisals within a 60-day window. All requests are reviewed by ISACA's Quality Governance team in consultation with internal CMMI subject matter experts (SMEs).

It is important to remember that the 60-day rule was established due to the threat to quality that is created by performing multiple appraisals in a limited timeframe. This threat comes not only from the demands of Phase 2 of the appraisal, but also from the rigorous planning and preparation required during Phase 1 and the requirements for reporting in Phase 3. Overlapping these activities across multiple appraisals in a relatively short amount of time creates risks to information integrity and performance that can be too great to accept. The 60-day rule was instituted within the Appraisal Delivery Limits Policy to help Appraisal Team Leaders (ATLs) by giving them acceptable guardrails to use in times when there is a high demand for their services (e.g., the fourth quarter of the calendar year).

Waiver Consideration Eligibility and Review Criteria

The below criteria outline waiver consideration eligibility:

- Schedules with High Maturity targets or multiple domains or Organizational Units (OUs) are ineligible for waiver consideration.
- Schedules with more than five appraisals within a 60-day window are ineligible for waiver consideration.

When reviewing waiver requests, the Quality Governance team will also consider additional factors such as team size, OU size, number of projects, number of interviewees, overall schedule, number of waiver requests, etc. when considering granting waivers.

Waivers may not be granted to those who have outstanding quality issues or corrective actions.

Waiver Request Process

An LA requesting a waiver must send an email to partner@cmminstitute.com in which they provide the following information (at a minimum) for each of the appraisals in the 60-day period:

- Phase 2 Start and End Dates
- Target Maturity Level and Domain View
- Number of Interviewees
- Number of Projects in the OU

The LA must also provide a justification for how they plan to manage the additional workload during this 60-day period and provide their rationale for requesting a waiver to this policy requirement.

Any questions on this process should be directed to partner@cmminstitute.com.

