



CMMI Performance Solutions

V3.0 Intellectual Policy (IP) Policy Changes

December, 2024

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ISACA CMMI Intellectual Property (IP) Policy Change

New IP Policy

- Effective Date: Monday, 28 October 2024
- Covers both CMMI and MDDAP
- Complete replacement of the former IP Policy published on 24 February 2023
 - Link to current IP Policy:
<https://cmmiinstitute.com/resource-files/public/quality/quality/cmmi-partner-cmmi-v2-0-product-suite-intellectua>

Rationale

- Protect our IP and brand
- Align to ISACA's other IP and content policies
 - Previous approach to allowing non-licensed organizations and individuals was effectively cannibalizing the CMMI Model and Model Viewer subscriptions
- Encourage:
 - Model Viewer use
 - Adoption and subscriptions
 - Continue funding Model & Content updates and development

IP Policy Changes

What is “Permitted Sharing”

Users of the CMMI Performance Solutions ecosystem are permitted to reproduce and distribute materials incorporating CMMI IP to be left behind with potential customers and CMMI users as set forth here (“Permitted Sharing”)

Who can share

CMMI licensed Partners, certified individuals (i.e., those who hold active CMMI and MDDAP certifications) and those Organizational Units (appraised organizations) who have **active and current** individual or enterprise CMMI Model Viewer licenses, or have CMMI Partnership agreements are permitted to engage in Permitted Sharing

What can be shared

- Practice Area (PA) Name and Icon
- PA Intent Statement
- PA Value Statement

Where it can be shared

- In appraisal tracking tools
- Marketing Presentations
- Other materials commonly used in driving adoption and performing appraisals

IP Policy Changes

Sharing CMMI IP

The following levels of detail cannot be distributed or shared with individuals or organizations that do not have active CMMI Model Viewer licenses or CMMI certifications

- Additional Required Practice Area Information
- Explanatory Practice Area Information, including the Practice Summary tables
- Additional Explanatory Practice Area Information
- Required Practice Information, including Practice Statements (Intent), Value statements, and any other Additional Required Information
- Additional Required Practice Information
- Additional Explanatory Practice Information, including Additional Explanatory Information, Example Activities, Example Work Products
- Any Context Specific Information

The only exception to these restrictions on Permitted Sharing is the Process Quality Assurance (PQA) Practice Area excerpt included in the CMMI Model Quick Reference Guide which may be shared with unlicensed individuals for the purpose of helping to market and explain the structure and use of CMMI and persuade the reader to purchase a CMMI Model Viewer subscription.

As part of a licensed training course delivery, course materials that contain CMMI IP, e.g., slides, exercises, worksheets, may also be left behind and retained by students from the roster of the course. The Appraisal Team Leader (ATL) is permitted to do a limited screen share during appraisal activities of the MDD but is not permitted to handover any portions of the MDD to others. The MDD Toolkit includes materials, e.g., Appraisal Team Member Guide, for Appraisal Team Members to use during appraisals.

IP Policy Changes

Commercial Use of CMMI IP

- Any commercial use of CMMI IP outside of use in connection with CMMI or MDDAP appraisal and training course delivery is prohibited without prior written consent from ISACA “Commercial Use”.
- For the avoidance of doubt, Commercial Use includes use of CMMI in any software, app, standalone product or service, regardless of whether a license fee is charged for access to the software, app, product or service.
- Commercial use of CMMI IP requires a formally submitted request to ISACA for consideration and potential approval.

Information we collect in IP license requests

- Specific IP (type) requested
- Why it is requested, such as intended use and purpose or business need
- Business case with expected target customers and users, financial information including estimated revenue and sales projections
- Request justification and rationale
- Other details

Refusal to provide this information will result in the request not being considered or approved. ISACA may decide to approve or deny any request for a license to engage in Commercial Use in ISACA’s sole discretion

IP Policy Changes

Questions and Requests

Questions about the new IP Policy and permissions changes?

- Please send us an email to permission@cmmiinstitute.com and we will get back to you.

Do you have content you have created that you are currently using and think it might be impacted by this IP Policy change?

- Please complete and submit the CMMI IP Permissions form located at*:
- Current: <https://cmmiinstitute.com/resource-files/public/quality/quality/policies/permission-request-form-to-use-copyrighted-work-or>

**We are in the process of uploading the new IP Policy by the end of October. Our IT team is working on converting the new IP license request form from the current download-and-complete document to being an online submission form.*

New IP Policy: Use Case 1

Use Case 1: CMMI Appraisals: Can we still include practice intent statements or value statements in findings briefings?

Answer: Yes, you can still do this. See additional notes. The IP policy allows for both practice intent statements and value statements to be cited when needed in all CMMI or MDDAP appraisals. As per policy, **Organizational Units** being appraised are required to have at least one Model Viewer license/subscription (for MDDAP, it is 2 per site) so the OU can see/access any and all content, including practice intent statement and value statements, etc.

Additional Notes

- **The MDD toolkit contains templates for opening and findings briefings and already contains the PA Intent and Value statements for each PA in the Model.** The templates can be augmented in appraisals by citing unique practices that may have findings (weaknesses, improvement opportunities, improvements in progress, and strengths) to make it clear for the OU which practice the findings apply to. The MDD toolkit appraisal tool contains the practice numbers to map findings to as well.
- **Appraised OUs (for both CMMI and MDDAP) can freely share Model practice intent statements and value statements and other content within their organization** as they will have Model Viewer licenses which allows them to share this information.
- For Preliminary and Final Findings, you can also show the entire OU Summary by PAs/Practices as it is laid out in the MDD toolkit Appraisal Tool, also commonly known as the “brick chart.”

New IP Policy: Use Case 2

Use Case 2: I use a questionnaire for some PAs like II and GOV, can I still include the practice and intent statements in there?

Answer: Yes. See additional Notes

Additional Notes

See Use Case 1 for appraised OUs. As per MDD recommendations, the practice intent statements can be reworded into “plain language” or business-speak to facilitate better understanding vs. citing model practices verbatim.

New IP Policy: Use Case 3

Use Case 3: I have a potential new client I want to demo/show the Model content to, can I do this?

Answer: Yes. See Additional Notes

Additional Notes

You can: As a CMMI Partner, ATL, BPOC, Instructor, you may present the Model Viewer to potential new clients and show them the various practice items, context specific information, etc. You can/should also use the soon to be released CMMI Model Quick Reference Guide and this can be a “leave behind” with potential clients as well.

You cannot: Make or allow screenshots of model practices, intent statements, value statements, required or explanatory material, etc. or provide them as leave-behinds, printouts, PDFs, etc. unless the OU has purchased a CMMI licensed software tool, such as Appraisal Wizard.

New IP Policy: Use Case 4

Use Case 4: I have my own appraisal tool; can I still include practice intent statements in it?

Answer: ISACA strongly recommends that you always point your customers to using the **Model Viewer for the model content as this is best practice for consistent and correct model interpretation.** See Additional Notes. The MDD toolkit contains the practice numbers but doesn't include the statements intentionally as we want appraisals teams, students, etc. to go to the source of truth in the Model.

Additional Notes

If you wish to continue using the practice intent statements in your own appraisal tool, you must submit **CMMI IP license permissions request form to ISACA** for purpose of establishing a license to do so. Link and email for this can be found on the CMMI Policy page under the IP Permissions section.

New IP Policy: Use Case 5

Use Case 5: I have my own version of a CMMI model at a glance, pocket guide, or something similar document or "handout". Can I still publish it or make it available to others?

Answer: No. See additional notes. ISACA is providing the entire Partner community and adopters, potential customers with a new CMMI Model Quick Reference Guide that you should use instead.

Additional Notes

After the new IP policy is published/effective on 10/28/24, CMMI Partners will have until the end of 2024 to take down or remove any previous content, items and collateral that are no longer allowed by the new IP policy. Older versions of the Model (e.g., V2.0) and related artifacts e.g., Model At A Glance or (MAAG), and similar items may no longer be used or be available after December 31, 2024.

New IP Policy: Use Case 6

Use Case 6: I have a tool I sell to customers and/or bundle with my appraisals that contains Model practice content (practice statements, value statements, etc.) Can I still do this?

Answer: With Agreement. See additional Notes

Additional Notes

This use case scenario requires you to submit CMMI IP license permission request form to discuss obtaining a software license with ISACA

New IP Policy: Use Case 7

Use Case 7: I have a poster or a document that shows large portions or the entire Model in a content-heavy or graphical layout, including practice intent statements for every practice area and every practice and may also contain the practice value statements. **Can I still do this?**

Answer: With Agreement. See additional Notes

Additional Notes

This scenario requires you to submit CMMI IP license permissions request form to determine if ISACA will agree to and approve such presentation and use.

New IP Policy: Use Case 8

Use Case 8: I provide my clients with an Excel tool to use for CMMI objective evidence tracking (formerly known as Practice Implementation Indicator Data (PIID)). for purposes of preparing for appraisals. Can I still do this?

Answer: ISACA does not recommend the use of PIIDs as noted in the MDD Section 1.2.2 due to consistent end-user/CMMI adopting organizations' feedback and due to more cost effective, less overhead, and easier best practice options being available.

Additional Notes

- Creating and using PIIDs is NOT a current MDD requirement. It is an outdated V1.3 concept, typically done solely for the purposes of appraisals and very costly to implement, and this was a fundamental concern to end-users during the development of CMMI V2.0 and 3.0.
- Use of PIIDs, as noted in the MDD Section 1.2.2 is only referenced under the Implementation Guidance on pp 63, and hence is guidance only. This content was left in the current MDD for transitional purposes only and to enable transition from such previous costly approaches described in previous MDD versions.

IP Policy FAQs

Question	Answer
If I use the ISACA provided MDD toolkit to train my team, and use the appraisal tool to capture notes and characterizations, and use the final findings brief in my appraisals, can I still provide these to my customer?	Yes, for all registered/reported appraisals submitted in CAS
What happens if the Sponsor/OU does not have a current and active CMMI Model License?	All appraised OUs are required to have a current and active MV license, as per the SRR policy and MDD. Refer to Use Case 1 additional notes.
Can my Sponsor share appraisal results/package with his customer who does not have a license?	The Sponsor is allowed permitted sharing as per policy
What if I or my Sponsor or customer has a question not covered here about the IP policy and allowed use?	Ask them to submit their question to ISACA at permission@cmmiinstitute.com and we will respond

IP Policy FAQs

Question	Answer
Whose responsibility is it to make sure the appraised OU has a current and active MV license?	As per the Sponsor's Roles and Responsibility appraisal policy and MDD Section 1.1.2 requirement, it is the joint responsibility of the Sponsor and ATL to confirm that the OU has a current licensed copy of the CMMI Model that aligns to the designated model scope for the appraisal. This should be discussed in the initial meeting with the Sponsor, and the ATL can point the Sponsor to the MV license page as part of appraisal planning.
What if a company provides me with a PIID document with practice statements in it?	The ATL should provide a link to and explain the IP policy, and note requirement for them to have a current and active Model licenses. Also they should be informed that ISACA does not recommend the use of PIIDs as noted in the MDD Section 1.2.2 due to consistent end-user/CMMI adopting organizations' feedback and due to more cost effective and easier best practice options being available.

IP Permissions - Status Update

Since we announced the new CMMI IP Permissions policy in October:

- Process is now in place, draft agreement template is under review, and we have DAR criteria and standardized approach for all requests in place
- **As of January 7, 2025, ISACA has received a total of new 22 Permission Requests from the Community**
 - **16 of these requests are for CMMI Appraisal tools/PIID tools**, (Refer to Use Case #8) and the others are for misc. requests such as referencing CMMI in a book, using CMMI for SOCs (related to Security domain)
 - Tool use was discussed with PAG, we will be monitoring this

To give the community further time to adjust to the new policy, we are extending the compliance deadline to 2/28/25

PLEASE reach to us at the permissions email if you have any questions or need clarification!

Reminder Link: [CMMI Institute - CMMI and MDDAP Intellectual Property Policy Updates](#)

Additional Status Information

The PAG requested that the ISACA QM team monitor use of non-ISACA appraisal tool use

- This will be done for a period of time and representative sample set of appraisals starting in a 2025, coinciding with the extended deadline for compliance (2/28/25)
- We will use (and share) this data to analyze any option directions or changes going forward

We have also confirmed with PAG and December, 2024 Partner Webinar that the language in the SRR and MDD will be updated to align to the IP Policy in 2025 with the 3.1 Model release planned, including removing all MDD references to PIIDs/Objective Evidence databases, etc.

Best practice examples for mapping Model practices to an OU's processes will also be included in the 3.x release of the Model, specifically in PAD 3.2 and 3.3 as recommended alternatives to PIIDs

Appraisal Tool Options – Option 1 (ISACA Recommended)

**Use the ISACA MDD
Toolkit Appraisal Tool**

**No additional actions
needed**

Pros/Cons, Rationale and Benefits:

- According to current data, most commonly used by ATLS
- Has been under development and continuous improvement since 2000
- Designed and kept updated to enable smoother CAS uploads
- Enables more efficient QM appraisal reviews
- Drives appraisal teams to the Model for more accurate interpretation
- Facilitates greater fidelity and consistency across appraisals and ATLS/ATMs

Appraisal Tool Options – Option 2

Use your own Appraisal Tool, *but only use Practice numbers, with no content*

Will require ISACA review and approval

Pros/Cons, Rationale and Benefits:

- Can/does cause errors and delays with CAS uploads
- This also can delay QM appraisal reviews
- Similar to ISACA MDD Toolkit Appraisal tool, enables more consistent use
- Drives Appraisal Teams to the Model for more accurate interpretation
- ISACA tested removing intent statements from tools submitted with IP Permissions requests received to date – the total average of time to remove statements was 7.75 minutes for a single tool and all Practice Area tabs

Appraisal Tool Options – Option 3

Your Appraisal tool, with all required Model content included

Will require a license agreement with ISACA at an associated cost of \$500 per appraisal (above normal appraisal fee)

Will require ISACA review and approval

Pros/Cons, Rationale and Benefits:

- Can/does cause errors and delays with CAS uploads
- This also can delay QM appraisal reviews
- Aligns/consistent with existing CMMI licenses (e.g, Appraisal Wizard)
- Most submitted tools will still require modification to update and include all required information - Practice Intent statements, Value Statements, and any Additional Required Information
- Still can pose interpretation challenges with appraisal teams if they solely rely on the tool vs. all Model content