# Confidentiality and Non-Attribution Agreement

## Overview

The Appraisal Sponsor(s), the Appraisal Team Leader (ATL), Appraisal Team Members (ATMs), Registered Interpreter or Interpreter (if applicable), ISACA Observer (if applicable), and Organizational Unit Coordinators (OUCs) (if applicable) must sign the Confidentiality and Non-Attribution Agreement prior to Phase 2 of the appraisal. The ATL and ATMs should show the agreement to all appraisal participants who provide input to the appraisal team.

The ATL is leading a CMMI® appraisal for the organization according to ISACA policy and requirements, processes, and methods defined in the CMMI Appraisal Method Definition Document (MDD). The accuracy and usefulness of the appraisal results are critically dependent on the willingness of participants to speak freely and without fear of retribution. In order to support free and open communication, the following provisions are agreed to:

1. All information gathered through or derived from appraisal instruments (e.g., questionnaires, discussions, or interviews) are treated by the appraisal team as appraisal confidential and are not re­ported to anyone outside the appraisal team with attri­bution to individuals or projects.
2. All appraisal participants agree not to discuss in­formation they share or learn from appraisal confidential meetings with anyone other than the appraisal team.
3. All appraisal results are recorded and presented without at­tribution to individuals or specific projects except when specifically provided for otherwise in the appraisal objectives or tailoring options.
4. All appraisal results are owned by the Appraisal Sponsor(s) and may not be distributed or discussed in any forum without the approval\* of the Appraisal Sponsor(s).
   1. \*In MDDAP appraisals, ISACA also has the authority to distribute high-level or cumulative appraisal results.
5. Recording for video, audio, and screen capture is strictly prohibited during the course of the appraisal, is a violation of appraisal principles, and may result in rejection of appraisal results by ISACA.

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We the undersigned understand and agree to these provisions.

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| Appraisal Sponsor(s) |  |
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| Appraisal Team Leader |  |
| Appraisal Team Members |  |
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| Organizational Unit Coordinator (if applicable) |  |
| Registered Interpreter / Interpreter (if applicable) |  |
| ISACA Observer (if applicable) |  |