

# CMMI Complaint Intake Form

## Introduction

Any individual, group, or organization may initiate a complaint and be a “Complainant.” In the event that a group, organization, or CMMI Partner is the Complainant, a single individual must be designated to receive correspondence and represent the Complainant. Each Complainant must submit a completed Complaint Form, including a detailed written description of the factual allegations supporting the complaint and an explanation of how the allegations set forth in the complaint may constitute a violation of the CMMI Code of Professional Conduct. Complainants may submit their complaint anonymously. Upon receipt of a new complaint, the Complaints and Corrective Action Appeals Team shall send the Complainant a submission confirmation email.

ISACA will ONLY consider a complaint filed against the following:

- CMMI Partners
  - Partner Business Points of Contact (BPOCs)
  - Certified CMMI Instructors
  - Certified CMMI Lead Appraisers
- CMMI Practitioners (CMMI Professionals, CMMI Associates, etc.)
- CMMI Registered Interpreters
- Any individual operating under a license or other agreement with ISACA, e.g., CMMI Model Viewer license holders, individuals who register and take CMMI exams, or individuals who contract with a Partner to deliver courses or appraisals
- CMMI Appraisal Sponsors and their delegates, including Organizational Unit Coordinators (OUCs)

## Complaint Criteria

A complaint will only be considered if it meets the below criteria. If your complaint does not meet these terms, it will be immediately suspended.

Upon receipt of a new complaint, the Complaints and Corrective Action Appeals Team may use discretion to determine the following:

- a) The complainant matter relates to a violation of the COPC ([see complaint form articles below](#))
- b) The matter is a reasonable concern and is not frivolous or trivial
- c) The information provided is sufficient and reliable enough to constitute further investigation

Additionally, CMMI may suspend (as applicable) a case if the matter is being pursued as a subject of civil or criminal litigation or other proceedings substantially related to the complaint before a court, regulatory agency, or other governmental body.

### What is NOT a complaint:

- Any complaints against ISACA employees
- Customer service complaints
- Account or billing related issues
- Product or material issues

If your complaint does not meet the criteria of this form, please contact the CMMI Support team by visiting our [Support page](#) where you can:

- Submit a support request
- Track existing requests
- View the library of FAQs and Knowledge Base Articles
- Initiate a live chat session with our Support team

## Complaint Form

Except for providing an email address, providing your contact information is optional, and the form can be submitted anonymously. Please note that if you provide your contact information, a member of the CMMI Complaints and Corrective Action Appeals team

may contact you to collect more information, if necessary. If you submit your form anonymously, please be sure to provide adequate information for the Complaints and Corrective Action Appeals Team to conduct an investigation. Anonymous submissions with insufficient information may result in the complaint being dismissed.

**Your Contact Information (option to remain anonymous, however email is required)**

Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

Affiliated Partner Organization: \_\_\_\_\_

**Please check the article(s) you are filing a complaint for:**

Complaints and Corrective Action Appeals Team will ONLY consider the following types of violations listed below. A complaint can be submitted to include one or more of the below articles; however, a complaint can only be submitted and considered one time for each case.

Failure to exercise due care to understand and adhere to professional obligations and agreements

Disrespecting customers, colleagues, competitors, and others

Failure to exercise due care to avoid conflicts of interest or the appearance of conflicts of interest

Misrepresenting personal opinions as positions of ISACA or others

Breaches of confidential and/or privileged information

Destroying reputability and customer relationships

Misuse of CMMI Materials

Failure to accurately adhere to the CMMI Methodologies

Falsifying evidence, facts, or other pertinent information

Failure to exercise due care to report results from the delivery of services completely, objectively, and accurately to all affected stakeholders

Disrespecting the ownership of intellectual property of CMMI products and services

Non-compliance with intellectual property laws and/or failure to preserve CMMI products and services

Failure to exercise due care with CMMI materials, copyright information, policies, methods, and guidelines

Asserting outcomes of maturity level or other findings before the appraisal has been completed

Unfairly influencing diagnostic methods in any way, including coaching people to provide false or misleading information, offering, or accepting bribes, creating documentation that is not actually used in an appraised organization, or offering competing services

Sponsor's failure to compensate Partner organization/Lead Appraisers for services in a timely manner

Any other violation of the CMMI Code of Professional Conduct

**Respondent (Person Violation is Alleged Against) Contact Information**

Name (required): \_\_\_\_\_

Phone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

Affiliated Partner Organization: \_\_\_\_\_

**Description of Events**

Using the space provided, please provide a description of event(s) related to the alleged violation(s) of the Code of Professional Conduct. If possible, please include the names of witnesses, dates and times of events, and references to how any attached evidence relates to the allegation(s). If you checked more than one article for complaint, address each article separately.

