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# CMMI Code of Professional Conduct

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## Document Change History

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# **1 Context**

## **1.1 Purpose**

The Code of Professional Conduct (“COPC” or “Code”) is a set of requirements and practices for CMMI professionals, and for those operating under license or other applicable agreement with CMMI Institute, LLC (“CMMI” or “CMMI INSTITUTE”).

Specifically, this Code states 1) the profession-wide behavioral standards to which the CMMI community holds itself accountable, and 2) the procedure for addressing violations of those behavioral standards. The Code establishes expectations for the professionalism expected from CMMI course participants, test takers, CMMI Credentialed Individuals and CMMI licensed Partners, which help distinguish these actors from their competitors in the marketplace.

## **1.2 Applicability**

The Code applies to:

- CMMI licensed Partners and those who possess CMMI certifications or certification candidacy including:
  - 1) Licensed Partner Business Points of Contact (BPOCs)
  - 2) Certified CMMI Instructors
  - 3) Certified CMMI Lead Appraisers
  - 4) Certified CMMI Professionals
  - 5) Certified CMMI Practitioners
  - 6) Certified CMMI Associates
- CMMI Registered Interpreters
- Any individual operating under a license or other agreement with ISACA pertaining to CMMI, e.g., CMMI Model Viewer license holders, individuals who register and take CMMI exams, or individuals who contract with a licensed Partner to deliver courses or appraisals
- CMMI Appraisal Sponsors and their delegates, including the Organizational Unit Coordinator (“OUC”)

All persons to whom the Code applies are required to have knowledge of and comply with all applicable CMMI license agreements, copyright information, exam day rules, materials, methods, policies, and guidelines. Furthermore, this Code applies to the aforementioned individuals as well as to the company or organization that they represent.

## **2 Principles**

The following principles serve as the foundation of this Code and ensure that the high standards of quality for CMMI are maintained and help create a positive public identity for the CMMI brand and those associated with it. Protecting the brand directly results in an increased level of public confidence and trust among important stakeholders. Those subject to the Code must comply with the following:

### **2.1 Professionalism**

Exercise due care to understand and adhere to your professional obligations and agreements. Treat customers, colleagues, competitors, Licensed Partners, and others in a respectful and honest manner to preserve the collective reputation of services and the community of users and deliverers of those services.

### **2.2 Objectivity**

Exercise due care to avoid conflicts of interest or the appearance of conflicts of interest; avoid misrepresenting personal opinion as positions of CMMI Institute or others. Disclose conflicts to those affected and take due care to manage these conflicts to preserve objectivity.

### **2.3 Confidentiality**

Respect confidential and privileged information acquired in the performance of professional services, including customer data, information, communications, and identities to maintain reputability and customer relationships.

### **2.4 Adherence to CMMI Materials and Methods**

Exercise due care to use CMMI Institute materials and methods as described in documents and policies or taught in training courses; act in a manner consistent with the intent of these materials and methods to preserve the validity and consistency of CMMI services. Do not tailor courses or appraisals outside of the allowable tailoring parameters. Represent the CMMI brands in accordance with all applicable agreements, style guides, and other applicable CMMI requirements.

### **2.5 Information Integrity**

Exercise due care to report results from the delivery of services completely, objectively, and accurately to all affected stakeholders. Take steps to verify and validate that data and information are not falsified, knowingly modified, or misrepresented to achieve more favorable outcomes and results. Report data and information integrity issues from organizations and individuals to CMMI Institute as soon as they are identified.

## **2.6 Respect for Intellectual Property**

Respect the ownership of intellectual property and stay informed of and comply with applicable laws to preserve the integrity of CMMI, encompassing, but not limited to, credentialing exam questions and related materials. Except with explicit written permission from CMMI Institute, do not copy, resell, or repackage CMMI intellectual property.

### **3 Practices**

These required practices provide more specific and practical guidance for putting the principles of the previous section into action when providing CMMI-related services and engaging in CMMI-related activities.

#### **3.1 Professionalism**

- Treat customers, colleagues, competitors, and others with respect and honesty. Ensure that the delivery of services allows for a respectful exchange of ideas among all involved.
- Fulfill commitments and give prompt notice when a commitment cannot be met.
- Promote and deliver licensed CMMI services in a manner aligned with CMMI policies.
- Ensure that only CMMI Credentialed Individuals are delivering licensed CMMI services.
- Deliver licensed CMMI services according to the CMMI Methods as well as the terms of customer and CMMI agreements.
- Avoid organizational misrepresentations, such as violating contractual restrictions (e.g., commercial versus internal use or limited training audiences; these appear in licensed Partner agreements) or falsifying financial reports, training records, or fees.
- Comply with all applicable laws where CMMI-related activities are conducted. Examples include:
  - 1) Compliance with import and export regulations relating to shipment of items and/or information
  - 2) Compliance with the U.S. Foreign Corrupt Practices Act (FCPA)
  - 3) Compliance with the United Kingdom (UK) Bribery Act
  - 4) Compliance with the General Data Protection Regulation (GDPR)

CMMI Credentialed Individuals and CMMI Partners are required to verify their compliance with the Code and any applicable U.S. or foreign laws to CMMI upon request, including the provision of documents and assistance in confirming such compliance obligations. CMMI Credentialed Individuals and CMMI licensed Partners shall also fully cooperate with any ethics and compliance investigation. Failure of a CMMI Credentialed Individual or CMMI Partner to comply with these requirements or to support CMMI in any compliance investigation or audit may result in corrective action up to and including termination of partnership and/or removal of CMMI certification(s).



- Provide CMMI Credentialed Individuals working in the CMMI licensed Partner organization with complete and accurate information regarding applicable flow-down clauses from agreements that affect their behavior and professional conduct.
- Exercise due care that criticism and disagreement are offered constructively and professionally, without disparagement.
- Uphold financial obligations for CMMI-related activities in a timely and professional manner. For example, (1) submit timely payment to CMMI for invoices; and (2) pay CMMI Credentialed Individuals or other third parties for CMMI-related activities pursuant to contractual obligations.
- Seek information and issue resolution directly and factually rather than through hearsay or third parties.

### **3.2 Objectivity**

- Avoid conflicts of interest (“COIs”) whenever possible. When COIs are unavoidable, disclose the potential conflicts to affected stakeholders, including one’s own organization, CMMI, and the customer. Take action to minimize the impact or eliminate the conflict. For CMMI appraisals, Lead Appraisers must record COIs and corresponding mitigation actions in their appraisal plans in accordance with CMMI Appraisal Method Definition Document (“MDD”) requirements.
- Ensure that inherent COIs that occur when one is placed in the role of evaluating one’s own work or one’s organization’s work are disclosed to all affected parties (Refer to *Section 4.2 Avoiding Conflicts of Interest*) and that action is taken to minimize the impact.
- Ensure that customers understand whom one represents (e.g., CMMI, one’s organization, or a third party) in professional activities.
- Ensure that when individuals sponsored or employed by a CMMI licensed Partner are performing services for another party, they do not actively solicit

business from the customer. When approached by a customer while performing services for another party, CMMI Credentialed Individuals and CMMI licensed Partners should defer the discussion to a time outside the scope of the immediate work. When these discussions occur, they are to be conducted in a manner that is consistent with contractual agreements

- No CMMI Credentialed Individual or CMMI licensed Partner is permitted to make any payments of money, or anything of value, nor will such be directly or indirectly offered or promised to any government officials, political parties, party officials, candidates for public office, or other government official to influence the acts of such persons in their official capacity, to induce them to use their influence with a government to obtain or retain business, or to gain an improper advantage in connection with any business venture or contract in which CMMI Institute or CMMI credentialed individuals or a CMMI licensed Partner organization is a participant.

### **3.3 Confidentiality**

- Protect customer information by adhering to the terms of all confidentiality, non-disclosure (“NDA”) or other applicable privacy agreements.
- Proactively distinguish between information that can be disclosed from confidential or privileged information and seek explicit permission prior to sharing confidential or privileged information. Exercise due care to ensure that confidential or privileged information remains so, even after a work engagement has ended.
- Do not use or copy materials, tools, or other artifacts received from a customer or other organization without explicit permission to do so, even if all customer references are removed.

### **3.4 Adherence to CMMI Materials and Methods**

- Maintain current knowledge of relevant CMMI materials, methods, policies, and guidelines. Relevant materials include, but are not limited to:
  - CMMI Partner License Agreement
  - [Licensed Partner Guide](#)
  - [CMMI Models](#)
  - CMMI Appraisal Method Definition Document (MDD)
  - [Code of Professional Conduct](#)
  - [CMMI Policies](#)
  - Communications:

- [Licensed Partner Newsletters](#)
- [CMMI Resource Center](#)
- [Quality Tips and Articles](#)
- [Licensed Partner Webinars](#)
- [CMMI Tech Talks](#)

For more information about these documents, submit a request via <https://support.isaca.org>.

- Exercise due care to perform in a manner that is consistent with CMMI materials, copyright information, policies, methods, and guidelines.
- Follow applicable CMMI guidelines when tailoring methods, materials, or course offerings. When faced with business circumstances that are not addressed in current guidelines, seek guidance from CMMI Institute <https://support.isaca.org>.
- Do not create derivative works from CMMI Intellectual Property. Examples of prohibited activities include copying copyrighted CMMI materials to create a new course, copying copyrighted CMMI model content to build and sell a tool, reusing CMMI content and materials to create alternative views of the CMMI model, appraisal method (MDD), or courses. Abide by the requirements of the [CMMI and MDDAP Intellectual Property Policy](#).
- Do not copy or share credential exam questions with others
- Do not make assertions about outcomes such as maturity levels or other findings before or during an appraisal or other diagnostic activity.
- Do not unfairly influence diagnostic methods in any way, including coaching people to provide false or misleading information, creating documentation that is not actually used in an appraised organization, or offering competing services.

### **3.5 Information Integrity**

- Objectively, completely, clearly, and accurately report results and data from appraisals, courses, projects, products, and diagnostic tasks.
- Exercise due care to ensure the accuracy and authenticity of information gathered from others.
- Do not cheat or allow cheating on examinations, exercises, or other evaluations of knowledge, skill, or expertise.

- Do not knowingly overlook or misrepresent objective evidence from organizations or appraisals, including performance report and measurement data.
- Protect the integrity of information stored in CMMI systems and tools, e.g., CMMI Appraisal System (“CAS”) and CMMI Course Management System (“CMS”), by adhering to the following:
  - 1) only access information that is available to one’s account,
  - 2) do not set up accounts for others,
  - 3) do not share account credentials, i.e., username, password, with others,
  - 4) only report mailing addresses, email addresses, organizational information, and Appraisal Sponsor, Registered Interpreter, Appraisal Team Member (“ATM”), OUC, and student course information that maps back to the legitimate owner, and
  - 5) do not fill out electronic surveys, questionnaires, or feedback forms on behalf of another individual.
- Each CMMI system account belongs exclusively to the one individual whose identity is associated with that account, not to their organization, their employer, consultancies, or any other entity or individual. If suspicions of account sharing or account takeovers arise, CMMI may temporarily suspend the account and ask that the account owner verify their account ownership by providing proof of identity prior to account reactivation.
- Do not fill out feedback or evaluation materials on behalf of others.
- Do not act as a substitute, assume a false identity, or act as an unregistered ATM, interpreter, or appraisal participant.

### **3.6 Respect for Intellectual Property**

- Ensure that Intellectual Property is used in accordance with all CMMI agreements, policies, and guidelines.
- Respect copyrights, trademarks, logos, and service marks. Give appropriate

references and credit to CMMI materials and sources.

- Unless such permission is included in CMMI agreements, policies, or guidelines, always obtain written permission for distributing or changing materials and for including materials in other works. Submit a request via <https://support.isaca.org>.

## **4 Implementation**

### **4.1 Code of Professional Conduct Orientation**

To support professional performance in applying the behavioral standards of this Code, CMMI Institute provides online materials to guide usage. All CMMI credentialed individuals and CMMI Partners must be knowledgeable of all materials applicable to their credentials and licenses. Refer to *Section 3.4 Adherence to CMMI Materials and Methods* for detailed information.

It is necessary that those accountable to these behavioral standards understand the principles and practices of the Code and have the capability to take the steps required to resolve Code violations.

Whether intentional or not, actions that are inconsistent with this Code can cause injury or damage to the integrity, reputation, or relationships that this Code seeks to protect. Therefore, situations related to potential Code violations must be reported, investigated, and resolved. This includes reporting actions that you may have inadvertently taken which potentially violate the Code once you become aware that your actions may be contrary to the Code's principles.

### **4.2 Avoiding Conflicts of Interest**

Follow these steps to prevent problems with implementation and adherence to the Code.

- **Preventive Clarification**

When considering taking an action that might be considered a COI or other Code violation, ask for clarification by submitting a request via [support.isaca.org](https://support.isaca.org)

- **COI Disclosure**

When a situation involving a COI is inherent or cannot be avoided, disclose the conflict to the affected parties, including one's own organization, the customer, and ISACA.

### **4.3 Initial Response for Potential Violations**



When observing colleagues' actions that are inconsistent with the Code's standards, one may choose to privately request clarification or offer help in a manner that is consistent with the Code. However, if clarification or help is ineffective in resolving the issue, or if corrective action is required to resolve the situation, then a report of the details must be submitted to ISACA for further action by submitting a complaint. Please refer to the [Complaints and Corrective Action Appeals Policy](#) for the process to report a potential violation to ISACA.

#### **4.4 CMMI Investigation and Resolution of Potential Violations**

The following process is used to investigate potential Code violations:

- **Investigation of Complaint**

The Quality Management department responds to and investigates each reported incident pursuant to the [Complaints and Corrective Action Appeals Policy](#). During investigation, due diligence is taken to protect and respect the rights and privacy of those involved in or reporting the incident.

- **Corrective Action**

The Quality Management department may determine that corrective action is required based on the findings of an investigation. CMMI Institute will administer any corrective action following an investigation in CMMI Institute's sole discretion, including issuing a warning, nullification of credentialing exam scores, remediation, suspension, or termination of CMMI credentials and/or CMMI license agreements. Please refer to the [Corrective Action Policy](#) for additional details.

- **Corrective Action Appeals**

If you have been subject to a corrective action and wish to appeal the outcome, please review the [Complaints and Corrective Action Appeals Policy](#) for information regarding the eligibility of and process for appealing a corrective action.

#### **4.5 Misuse of the Code**

Retaliation against anyone who, in good faith, reports a potential violation of this Code, is unacceptable. Such retaliation will be investigated as a potential violation of the Code.

This is intended to protect those who report potential violations in good faith. To protect the integrity and reputation of those in the CMMI ecosystem, repeated, abusive, or retaliatory reporting of frivolous Code violations are investigated as a potential violation of the Code.

## **5 Statement of Commitment**

Committing to the Code is completed as part of the certification application process and the CMMI partnership application process. Commitment to the Code is a requirement for CMMI credentialed individuals, CMMI BPOCs, and CMMI Partners.

All CMMI credentialed individuals, and CMMI Partners must commit to the CMMI Code of Professional Conduct.

## 6 Appendix

### 6.1 Definition of Terms

For the purposes of this agreement, the following terms have the following meanings:

- a. **“Agreement”** means any contract between two legal entities.
- b. **“CMMI Credentialed Individual”** means a person who is 1) certified or authorized by ISACA to deliver CMMI courses and/or services for a CMMI specialization for which their CMMI Partner is licensed under agreement, 2) is a Candidate becoming a CMMI Credentialed Individual, and 3) is in compliance with all ongoing requirements and policies of that authorization or certification. The CMMI Partner Directory can be used to search CMMI credentialed individuals: [CMMI - Partner Directory](#).
- c. **“CMMI systems and tools”** means integrated systems providing interactive user experience with model, appraisal method, and performance reporting resources.
- d. **“CMMI Partner”** or **“Licensed CMMI Partner”** means any organization that has entered into a license agreement with ISACA with respect to CMMI courses, materials, or services.
- e. **“Confidential or privileged information”** means any information that is to be restricted in access and use. This often includes materials produced in service delivery, customer materials, data, contracts, communications, and customer identity.
- f. **“Conflict of interest”** (COI) means two or more competing priorities, loyalties, or commitments that could compromise CMMI Credentialed Individuals’ and CMMI Partners’ objectivity.
- g. **“Corrective action”** means an action taken by CMMI Institute based on a violation of this Code or other CMMI policies that adversely affects certification and authorization credentials, certification candidacy, or CMMI Partner licenses.
- h. **“Course materials”** means CMMI copyrighted materials that are designated by CMMI for distribution to registered course participants.
- i. **“Course participants”** means any person who is registered to participate in a CMMI course, even if auditing the course.

- j. **“Customer”** means any end-user that orders a CMMI product or service from a CMMI Partner CMMI, subject to the terms and conditions of the corresponding agreements.
- k. **“Due Care”** means such a degree of care, caution, or diligence as may fairly and properly be expected or required, having regard to the nature of the action, or of the subject matter, and the circumstances surrounding the transaction. It is such care as a prudent person would exercise under the existing conditions at the time called upon to act.
- l. **“Intellectual Property”** means any and all copyrights, data, discoveries, ideas, improvements, inventions, know-how, methods, models, patents, patent applications, processes, service marks, trademarks, trade names, trade secrets, works of authorship, course materials, and other intellectual property recognized in any country in the world.
- m. **“Business Point of Contact”** (BPOC) means any individual that has signature authority from a CMMI Partner to commit the CMMI Partner to the Code of Professional Conduct or an agreement with CMMI.
- n. **“Solicit Business”** means to actively seek business or work from a customer, either by initiating the services, advertising the services, or discussing one’s services.