



## Frequently Asked Questions about CSIH Complaint Processing

### 1. What constitutes a complaint?

A complaint must be:

- Specific to a section of the SEI Code of Professional Conduct;
- In writing and signed by the individual lodging the complaint;
- Supported by definitive and specific evidence of such accusation; or
- Made against a current holder of an SEI certification.

### 2. To whom should I submit a complaint?

Any complaint should be submitted to the attention of the Manager of SEI Certification via email at [certification-info@sei.cmu.edu](mailto:certification-info@sei.cmu.edu). The complaint and all related documentation are dealt with in a strictly confidential manner.

The complaint can be filed using one or more of the following delivery methods:

- Email: [certification-info@sei.cmu.edu](mailto:certification-info@sei.cmu.edu)
- Fax: 412-268-6257
- Postal mail:

Software Engineering Institute  
Attn: SEI Certification  
Suite 2408  
4500 5<sup>th</sup> Avenue  
Pittsburgh, PA 15213-2612  
USA

### 3. Who is responsible for reviewing complaints?

The CSIH Complaints Committee is responsible for reviewing the complaint and making recommendations to the CSIH Advisory Board for action. The CSIH Complaints Committee is made up of at least 3 individuals who currently hold a valid SEI certification, the SEI Certification Manager, and the CSIH Board Secretary who provides coordination and support for the Complaint Committee.

### 4. What is the process for reviewing a complaint?

- Once a complaint is filed, the complainant agrees to hold in strict confidence, and will not announce or promote in any manner, or use personal or chapter communication vehicles to announce filing of a complaint.
- The SEI Certification Manager will determine if additional information and evidence is required, this will be requested from the complainant.
- The CSIH Advisory Board will appoint a CSIH Complaints Committee of certified professionals from the community to review the petition.
- The SEI-Certification Manager will present the complaint to the committee. The subject of the complaint will be offered the opportunity to attend and comment on the complaint. The CSIH Complaint Committee will then discuss and make a recommendation concerning the complaint to the CSIH Advisory Board.
- The CSIH Board Secretary will add the complaint recommendation item to the next CSIH Advisory Board meeting.

- If the subject of the complaint wishes to appeal the CSIH Complaint Committee recommendation, the individual must attend the CSIH Advisory Board hearing in which they will be given time to offer feedback and/or evidence to counter the complaint.
- SEI Certification will then notify the subject of the complaint of the decision and of any other actions as approved by the Board.
- The full CSIH Advisory Board will review the recommendation from the Complaint Committee and approve/disapprove the recommendation.

#### **5. What is the communication with the subject of the complaint?**

The communications with the subject of a complaint are made as follows:

- If a preliminary investigation of the information/evidence reveals a valid complaint, the individual(s) named in the written complaint will be sent a “Notice of Complaint” by registered or certified mail. The Investigations Committee will also request any additional information needed.
- The Investigations Committee will submit a written report of its findings within sixty (60) working days of receiving all further requested supporting information.
- Within ten (10) working days of the written report findings being accepted, the findings of the Investigations Committee will be communicated to the subject of the complaint.

#### **6. What are the potential disciplinary actions?**

If a complaint is found to have valid grounds, the CSIH Advisory Board could recommend one of the following disciplinary actions depending on the severity of the infraction:

- **Warning**—A written warning and notice of such shall remain in the certificants file and articulate clearly the consequences if the situation occurs again, or if there is another violation.
- **Suspension**—SEI certification or eligibility to become certified could be suspended based on the policy outlined in the SEI Certification Agreement
- **Revocation of Certification or and/or Membership**— SEI certification or eligibility to become certified could be revoked based on the policy outlined in the SEI Certification Agreement

#### **7. Can the recommendations of the CSIH Complaints Committee be appealed?**

If the subject of the complaint wishes to appeal the recommendations of the Complaint Committee, he/she must appear at the hearing before the CSIH Advisory Board in which the complaint is reviewed. The subject of the complaint will be contacted to attend the CSIH Board hearing of the complaint. It is at this hearing that the subject of the complaint will have an opportunity to plead their case concerning the complaint.

The final decision of the CSIH Advisory Board is not subject to appeal.