# CCR

## Continuing Certification Requirements (CCR) Program Handbook

The **CCR** program applies to the PMI-RMP℠, PMI-SP℠, PgMP® and PMP® credentials.

Making project management indispensible for business results.®

**PMI** Project Management Institute®

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# Continuing Certification Requirements (CCR) Program

The Continuing Certification Requirements (CCR) program supports the ongoing educational and professional development of individuals who have attained the Project Management Professional (PMP)$^{SM}$, Program Management Professional (PgMP)$^{®}$, PMI Scheduling Professional (PMI-SP)$^{®}$ and/or PMI Risk Management Professional (PMI-RMP)$^{SM}$ credential(s). The purpose of the CCR program is to:

- Enhance the ongoing professional development of credential holders
- Encourage and recognize individualized learning opportunities
- Offer a standardized and objective mechanism for attaining and recording professional development activities
- Sustain the global recognition and value of PMI credentials.

**In order to satisfy the CCR program and maintain an active certification status, you must:**

1. Earn and report the appropriate amount of professional development units (PDUs) during each three-year certification/CCR cycle
2. Complete an Application for Certification Renewal
3. Reaffirm PMI Code of Ethics and Professional Conduct and PMI Certification Application/Renewal Agreement
4. Submit payment of the renewal fee

# Why You Should Maintain a CCR Folder

You should maintain a personal CCR folder in your home or office file cabinet as a place to file documentation that supports your reported PDU activities. For each claim, you should keep a copy of the submission and the supporting documentation required (refer to the Professional Development Units section in this handbook for more details).

> *NOTE:* A percentage of credential holders will be randomly selected for PMI's audit process. During an audit, these credential holders will be asked to submit supporting material to verify any PDUs submitted. Therefore, documentation for all PDU claims should be maintained for at least 18 months after the CCR cycle has ended.

# Work Online

Use the online certification system to:

- View your listing on the Credential Registry
- Update your contact information
- Determine your Certification/CCR cycle dates on your certification record
- Report professional development units (PDUs) as you earn them
- Submit the application and payment for credential renewal

# How to Determine your Certification/CCR Cycle

Your active certification/CCR cycle begins the day you pass your credential examination and ends three full years later.

The following table provides a sample of how to determine your active certification/CCR cycle. You also can check this information on your credential certificate or on the online certification system.

|  | PMP®, PMI-SP®, PMI-RMP<sup>SM</sup> | PgMP® |
|---|---|---|
| Certification/CCR cycle begins | The day you pass the examination | The day you pass the Multi-rater Assessment (MRA) |
| Certification/CCR expires | On the anniversary date of the day you passed the exam three years later | On the anniversary date of the day you passed the MRA three years later |
|  |  |  |
| **Calculations:** |  |  |
| If you pass the exam and/or MRA on… | 15 September 2008 | 15 September 2008 |
| Your certification/CCR cycle starts… | 15 September 2008 | 15 September 2008 |
| Your credential expires… | 15 September 2011 | 15 September 2011 |
| Therefore, you need to renew your credential by… | 14 September 2011 | 14 September 2011 |
| Your next cycle starts… | 15 September 2011 | 15 September 2011 |

# Certification Status

**Active Status**

Once you report your PDUs and renew your credential prior to the certification/CCR expiration date, you are a credential holder in good standing and considered to be in active status. When you are in active status, you will be listed in the Online Registry, which allows verification of your credentialed status.

**Suspended Status**

If you do not satisfy the CCR program within your active certification dates, you will be placed on suspended status. If you are in suspended status, you may not refer to yourself as a credential holder or use the credential designation(s) until the overdue requirements are earned, within a maximum of one year beyond the certification/CCR expiration date.

The date of your next CCR cycle will not change after reinstatement to active status from suspended status. (The suspension period overlaps the time frame of their next cycle—see chart below).

If you do not meet the overdue requirements within the suspension period, you will lose your credential(s). If you fail to comply with the CCR program and lose your credential, you will be required to reapply for the credential, retake the examination for PMI-RMP, PMI-SP and PMP (or the three assessments for PgMP), and submit the fees associated with the initial credential application.
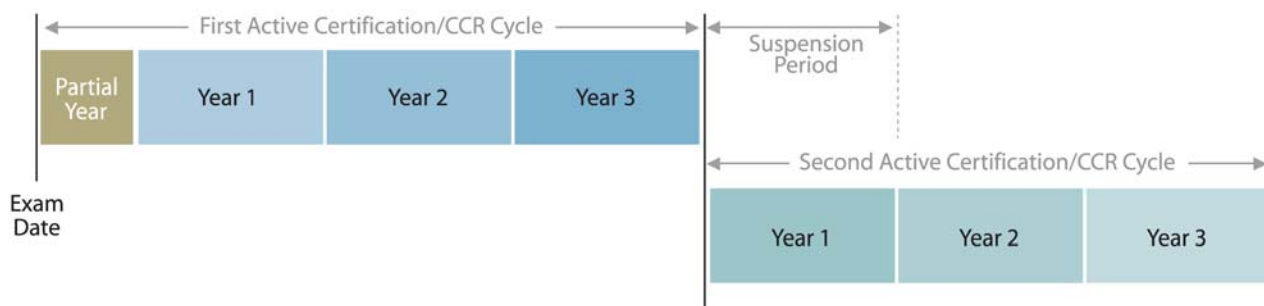
**Retired Status**

If you are a credential holder in good standing, who wishes to voluntarily relinquish your active status due to retirement, you are eligible to apply for retired status. To qualify, you must no longer earn primary remuneration for practicing project and/or program management and must have been a credential holder in good standing for at least 10 consecutive years.

If you are interested in applying for retired status, you should submit a written request by postal mail to the attention of the Certification Department at PMI.

# Professional Development Units

The Professional Development Units (PDUs) is the measuring unit used to quantify approved learning and professional service activities. Typically, one PDU is earned for every one hour spent in a planned, structured learning experience or activity.

> **NOTE:** If you attend courses that calculate by Continuing Education Units (CEUs), please be aware that for conversion purposes, one CEU equals 10 PDUs.

Each credential requires a certain number of PDUs per three-year credential cycle.

| Credential | No. of PDUs required for each 3-year cycle |
| --- | --- |
|  |  |
| PMP | 60 |
| PgMP | 60 |
| PMI-SP | 30 PDUs in specialized area of project scheduling |
| PMI-RMP | 30 PDUs in specialized area of project risk management |
| CAPM | No PDUs. Re-exam at end of cycle |

**The CCR Program organizes PDUs into five categories.**

**Category 1: Formal Academic Education**

PDUs may be earned by completing an academic course after attaining a PMI credential. Courses must be offered for degree credit and be related to project and/or program management. One hour of degree credit in a typical 15-week semester earns 15 PDUs. One quarter semester hour (10 weeks) earns 10 PDUs. When only a portion of a course relates to project and/or program management, PDUs are calculated on a percentage of the overall curriculum focused on project and/or program management. Each course must be submitted on a separate CCR Activity Reporting Form. PMI does not recognize entire degree programs for PDU credits, only individual courses.

*Documentation required upon PMI audit/request:* transcript or grade report indicating a passing mark.

**Category 2: Professional Activities and Self-directed Learning**

A predetermined number of PDUs may be earned by participating in specified professional activities. Use the Guide to Category 2 Activities to determine PDUs in this category.

*Documentation required upon PMI audit/request:* copies of publications, sample educational materials or course agendas.

**Guide to Category 2 Activities**

| Letter Code | Description | Number of PDUs Earned |
|---|---|---|
| 2A | Author or coauthor of an article pertaining to project and/or program management published in a refereed journal (e.g., *Project Management Journal*®). | *Check CCR section of the respective credential handbook* |
| 2B | Author or coauthor of an article pertaining to project and/or program management published in a non-refereed journal (e.g., *PM Network*®). | *Check CCR section of the respective credential handbook* |
| 2C | Speaker/teacher on project and/or program management topic at a conference, symposium, workshop or formal course. | *Check CCR section of the respective credential handbook* |
| 2D | Speaker on a project and/or program management topic at PMI Component meeting (e.g., chapter meeting). | *Check CCR section of the respective credential handbook* |
| 2E | Member or moderator of a project and/or program management panel discussion at a conference, symposium, workshop or formal course. | *Check CCR section of the respective credential handbook* |
| 2F | Author or coauthor of textbook that pertains to project and/or program management. | *Check CCR section of the respective credential handbook* |
| 2G | Developer of content for a structured project and/or program management learning courseware. | *Check CCR section of the respective credential handbook* |
| 2H | Practitioner of project and/or program management services for more than 1,500 hours in a single calendar year. | *Check CCR section of the respective credential handbook* |

**PDUs for Self-Directed Learning Activities**

| | | |
|---|---|---|
| 2-SDL | Self-directed learning activities are individualized learning events involving personally conducted research or study. Learning may include informal activities such as discussions or coaching sessions with colleagues, coworkers, clients or consultants. It may include articles, books, instructional manuals, videos, CD-ROMs or other material resources.* | *Check CCR section of the respective credential handbook* |

*\*Qualifying self-directed learning activities must be relevant to project and/or program management or the specialty area of your credential; must meet a specified purpose; and must use knowledgeable resources. Use the Self-Directed Learning Activities Worksheet to determine PDUs for Category 2 – Self-Directed Learning.*

***Documentation required upon PMI audit/request:*** evidence supporting your reported learning project, including notes from and dates of discussion or reading.

**Category 3: PMI Registered Education Providers/PMI Components**
PDUs may be earned by attending educational courses offered by organizations registered with PMI and designated as PMI Registered Education Providers (R.E.P.s) or PMI Components. These providers adhere to quality criteria established by PMI and are solely authorized to issue PDU certificates to attendees. R.E.P.s can be identified by their logo:



Examples include schools, consultants, corporate training departments, professional associations, government agencies and PMI chapters, specific interest groups (SIGs) and colleges. View the searchable database of R.E.P.s and the courses they offer online.

***Documentation required upon PMI audit/request:*** registration form, certificate or letter of attendance.

**Category 4: Courses offered by Other Education Provider**

Contact hours of project and/or program management education may be earned by attending relevant educational courses offered by organizations not registered with PMI. To calculate the number of PDUs earned, use the following formula: one contact hour of learning relevant to project and/or program management within a structured activity or course equals one PDU.

***Documentation required upon PMI audit/request:*** registration form, certificate or letter of attendance, and a brochure or course materials outlining the subject matter covered and the qualifications of the instructor/lecturer.

**Category 5: Volunteer Service to Professional or Community Organizations**

A maximum of 20 PDUs for PMP and PgMP (10 PDUs for PMI-SP and PMI-RMP) may be earned per CCR cycle through professional service to a project management organization or by providing non-compensated project management services to non-employer or non-client customer groups. The volunteer services must meet the definition of a project as outlined in *A Guide to the Project Management Body of Knowledge* (*PMBOK® Guide).*

Examples of qualifying activities and their associated PDU values include the following:

- Serve as an elected officer for a project management organization (including PMI components).
  - ➢ Minimum three months of participation: 2 PDUs per year
    (No PDUs are awarded for service less than three months)
  - ➢ Minimum six months of participation: 5 PDUs per year
  - ➢ Twelve months of participation: 10 PDUs per year

- Serve as a volunteer/appointed committee member for a project management organization (including PMI components).

  - ➢ Minimum three months of participation: 1 PDU per year
    (No PDUs are awarded for service less than three months)
  - ➢ Minimum six months of participation: 3 PDUs per year
  - ➢ Twelve months of participation: 5 PDUs per year

- Provide project and/or program management-related services to a community or charitable group or to a group of college students for educational purposes (5 PDUs per year).
  - ➢ The sponsoring organization must be a legally recognized not-for-profit organization.

View volunteer opportunities online to see how you can earn PDUs in this category.

Documentation required upon PMI audit/request: letter or certificate from the organization served acknowledging you for leading project tasks or participating as part of a project team.

# How to Calculate PDUs

There are no minimum requirements for the number of PDUs earned in any specific category. You may accomplish your PDUs through any combination of the various categories, with the following restrictions:

| Category | No. of maximum PDUs per three-year CCR cycle for PgMP and PMP | No. of maximum PDUs per three-year cycle for PMI-RMP and PMI-SP |
|---|---|---|
| Category 2-SDL | 15 PDUs | 7.5 PDUs |
| Category 2H | 15 PDUs (5 PDUs per year) | 7.5 PDUs |
| Category 5 | 20 PDUs | 10 PDUs |

PDU activities completed prior to obtaining a PMI credential are not accepted toward the renewal requirements. Further, you cannot claim participation in the same course or activity more than once.

Fractions of PDUs also may be reported in quarterly increments following one full hour. This means that after you report one full hour in a certain activity, you also may report an additional 0.25 PDUs within the same activity if applicable.

**How to Transfer PDUs to the Next CCR Cycle**

If you earn more than the required PDUs in your CCR cycle, you may apply the following amounts of PDUs to your next certification/CCR cycle.

| Credential | No. of PDUs allowed to be transferred to the next cycle |
|---|---|
| PMI-RMP | 10 PDUs earned in the third year of current cycle |
| PMI-SP | 10 PDUs earned in the third year of current cycle |
| PgMP | 20 PDUs earned in the third year of current cycle |
| PMP | 20 PDUs earned in the third year of current cycle |

**Only PDUs earned in the third year of your certification cycle can be transferred.**

# How to Maintain Multiple Credentials

No one PMI credential serves as a prerequisite for another. You can earn multiple credentials or *all* of PMI's credentials if you meet the eligibility requirements. If you hold a credential and want to earn another, PMI makes it easy for you to earn PDUs toward maintaining your credentials simultaneously.

### Align Certification/CCR Cycles for PgMP and PMP

Earn 60 PDUs (not 120 PDUs) during your three-year cycle to maintain both the PMP and PgMP credentials. There are two options for aligning your certification cycles and you make this selection as part of the application process.

**Option A** – the credential you already have – the "current" credential – and the "new" credential will share PDUs going forward. Any PDUs earned for your current credential before you obtained the new credential will be forfeited. The renewal date for your current credential will be set equal to the newly-acquired credential renewal date.



**Option B** – The new credential will share the PDUs you already earned for your current credential and any that you earn moving forward. The renewal date for the new credential will be set equal to the existing renewal date for the credential you currently hold.
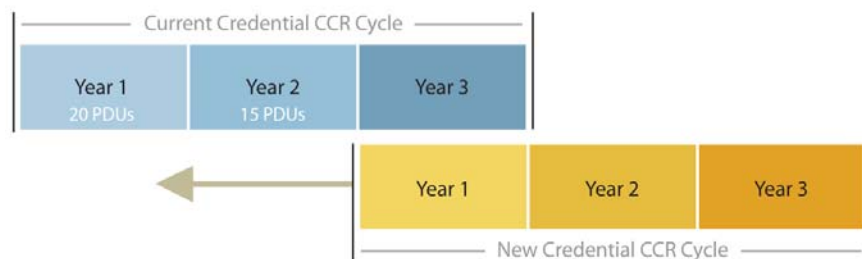


### Apply PDUs for Specialty Credentials to your PMP or PgMP

If you hold the PMP or PgMP and apply for one of the specialty credentials—PMI-RMP or PMI-SP—you cannot align the certification/CCR cycles, but you can apply the PDUs you earn for the specialty credentials to the maintenance of your PMP or PgMP credential.

Therefore, to maintain the PMP and the PMI-SP, for instance, you only have to earn and report 60 PDUs (not 90 PDUs). Be mindful that in order to maintain the PMI-SP or PMI-RMP credential(s), the professional development activities must be in the specialized area of project risk management or project scheduling respectively.

# How to Report your PDU Activities

You are responsible for reporting your PDU activities as they occur. The most efficient way to report PDUs is by using the online [PDU resources system](#).

The online PDU resources system also allows you to view your transcripts to confirm that PDUs have been posted. Please allow up to three weeks for claims to be processed and listed on the online transcript.

> *NOTE:* For those who hold the PMI-RMP and PMI-SP credentials, you will currently need to track your PDUs manually using the Activity Reporting Form. The online PDU tracking system is currently being upgraded and cannot support electronic entry of PDUs for the specialty credentials.
>
> Therefore, PMI asks that you complete the Activity Reporting Form as you acquire PDUs and keep it in the credential folder you are advised to create for important credential documents. Once the system is upgraded (Quarter 1, 2009), PMI will notify you and you can then begin to track your PDUs online.

If you currently hold a PMP or PgMP credential, you can track those PDUs online.

Although PMI encourages you to report PDUs using the online system, you may complete and send paper copies of the Activity Reporting Form found on the [online certification system](#) or in the back of this handbook. This should be done upon completion of each activity. You only need to send the Activity Reporting Form. You do not need to send supporting documentation for activities reported at this point, but should retain such documentation in the event you are audited.

| Action | Resource |
|---|---|
| Mail the completed Activity Reporting Forms to: | PMI/CCR Records Office<br>College of Continuing Education<br>1700 Asp Avenue<br>Norman, Oklahoma 73072-6400 USA |
| Fax the Activity Reporting Form to PMI/CCR Records Office | +1 405 325 6925 |

## PDU Submission Deadline

You must report your PDUs and complete the renewal process prior to the end of your CCR cycle in order to avoid suspension of your credential(s) (refer to the Suspended Status section in this handbook for more details).

If you do not earn and report the required PDUs within your CCR cycle will be suspended. The one-year suspension period can be used to earn and report the required PDUs.

In addition, you can report PDUs up to 12 months after the expiration date of the CCR cycle in which the activities were completed.

# Application, Fees & Audit Process

**Application for Certification Renewal & Credential Renewal Fee**

After the CCR Records Office confirms that you have met the PDU requirements, the Certification Department will send electronic notification for you to apply for credential renewal. Once you receive the notification, you can complete the Application for Certification Renewal and submit payment of the renewal fee on the [online certification system](#).

**The renewal fee for PMI members is US$60 and US$150 for non-members.**

You must complete the application and submit payment no later than 90 days after your credential expiration date.

Alternatively, you may submit the Application for Certification Renewal and payment by postal mail to the Global Operations Center.

> **NOTE:** Electronic communications from PMI may inadvertently be blocked or forwarded to bulk mail folders by some spam filters. Please add [customercare@pmi.org](mailto:customercare@pmi.org) to the personal address book in your e-mail program to help ensure that you don't miss important CCR program updates from PMI.

After processing the completed application and the renewal payment, PMI will send you an updated certificate with the new active certification/CCR cycle dates. Please allow six to eight weeks for postal delivery of your certification.

You may cancel your credential at any time. To do so, contact the Certification Department in writing. PMI will refund one-third of the renewal fee for each full year of the renewed certification/CCR cycle that you have not used following the date of the written cancellation request.

**PMI Audit Process**

As the recipient of a PMI credential, you have agreed to comply with its terms of use including adherence to the audit process. The terms of the audit process provide that all credential holders are subject to an audit, although only a percentage are selected. The selection for audit is random. In the event of an audit, you will be permitted to renew your credential only after you successfully complete the audit and meet all the audit requirements.

# PMI Code of Ethics and Professional Conduct

**CHAPTER 1. VISION AND APPLICABILITY**
**1.1 Vision and Purpose**
As <u>practitioners</u> of project management, we are committed to doing what is right and honorable. We set high standards for ourselves and we aspire to meet these standards in all aspects of our lives—at work, at home, and in service to our profession.
This Code of Ethics and Professional Conduct describes the expectations that we have of ourselves and our fellow practitioners in the global project management community. It articulates the ideals to which we aspire as well as the behaviors that are mandatory in our professional and volunteer roles.
The purpose of this Code is to instill confidence in the project management profession and to help an individual become a better practitioner. We do this by establishing a profession-wide understanding of appropriate behavior. We believe that the credibility and reputation of the project management profession is shaped by the collective conduct of individual practitioners.
We believe that we can advance our profession, both individually and collectively, by embracing this Code of Ethics and Professional Conduct. We also believe that this Code will assist us in making wise decisions, particularly when faced with difficult situations where we may be asked to compromise our integrity or our values.
Our hope that this Code of Ethics and Professional Conduct will serve as a catalyst for others to study, deliberate, and write about ethics and values. Further, we hope that this Code will ultimately be used to build upon and evolve our profession.
**1.2 Persons to Whom the Code Applies**
The Code of Ethics and Professional Conduct applies to:
    1.2.1 All <u>PMI members</u>
    1.2.2 Individuals who are not members of PMI but meet one or more of the following criteria:
        .1 Non-members who hold a PMI certification
        .2 Non-members who apply to commence a PMI certification process
        .3 Non-members who serve PMI in a volunteer capacity.

**Comment:** *Those holding a Project Management Institute (PMI$^{®}$) credential (whether members or not) were previously held accountable to the Project Management Professional (PMP$^{®}$) or Certified Associate in Project Management (CAPM$^{®}$) Code of Professional Conduct and continue to be held accountable to the PMI Code of Ethics and Professional Conduct. In the past, PMI also had separate ethics standards for members and for credentialed individuals. Stakeholders who contributed input to develop this Code concluded that having multiple codes was undesirable and that everyone should be held to one high standard. Therefore, this Code is applicable to both <u>PMI members</u> and individuals who have applied for or received a credential from PMI, regardless of their membership in <u>PMI</u>.*

**1.3 Structure of the Code**
The Code of Ethics and Professional Conduct is divided into sections that contain standards of conduct which are aligned with the four values that were identified as most important to the project management community. Some sections of this Code include comments. Comments are not mandatory parts of the Code, but provide examples and other clarification. Finally, a glossary can be found at the end of the standard. The glossary defines words and phrases used in the Code. For convenience, those terms defined in the glossary are underlined in the text of the Code.
**1.4 Values that Support this Code**
<u>Practitioners</u> from the global project management community were asked to identify the values that formed the basis of their decision making and guided their actions. The values that the global project management community defined as most important were: responsibility, respect, fairness, and honesty. This Code affirms these four values as its foundation.
**1.5 Aspirational and Mandatory Conduct**
Each section of the Code of Ethics and Professional Conduct includes both aspirational standards and mandatory standards. The aspirational standards describe the conduct that we strive to uphold as <u>practitioners</u>. Although adherence to the aspirational standards is not easily measured, conducting ourselves in accordance with these is an expectation that we have of ourselves as professionals—it is not optional.
The mandatory standards establish firm requirements, and in some cases, limit or prohibit practitioner behavior. Practitioners who do not conduct themselves in accordance with these standards will be subject to disciplinary procedures before PMI's Ethics Review Committee.

**Comment:** *The conduct covered under the aspirational standards and conduct covered under the mandatory standards are not mutually exclusive; that is, one specific act or omission could violate both aspirational and mandatory standards.*

## CHAPTER 2. RESPONSIBILITY
### 2.1 Description of Responsibility
Responsibility is our duty to take ownership for the decisions we make or fail to make, the actions we take or fail to take, and the consequences that result.
### 2.2 Responsibility: Aspirational Standards
As <u>practitioners</u> in the global project management community:
>  2.2.1 We make decisions and take actions based on the best interests of society, public safety, and the environment.
>  2.2.2 We accept only those assignments that are consistent with our background, experience, skills, and qualifications.

**Comment:** *Where developmental or stretch assignments are being considered, we ensure that key stakeholders receive timely and complete information regarding the gaps in our qualifications so that they may make informed decisions regarding our suitability for a particular assignment.*
*In the case of a contracting arrangement, we only bid on work that our organization is qualified to perform and we assign only qualified individuals to perform the work.*
>  2.2.3 We fulfill the commitments that we undertake – we do what we say we will do.
>  2.2.4 When we make errors or omissions, we take ownership and make corrections promptly. When we discover errors or omissions caused by others, we communicate them to the appropriate body as soon they are discovered. We accept accountability for any issues resulting from our errors or omissions and any resulting consequences.
>  2.2.5 We protect proprietary or confidential information that has been entrusted to us.
>  2.2.6 We uphold this Code and hold each other accountable to it.

### 2.3 Responsibility: Mandatory Standards
As <u>practitioners</u> in the global project management community, we require the following of ourselves and our fellow practitioners:

Regulations and Legal Requirements
>  2.3.1 We inform ourselves and uphold the policies, rules, regulations and laws that govern our work, professional, and volunteer activities.
>  2.3.2 We report unethical or illegal conduct to appropriate management and, if necessary, to those affected by the conduct.

**Comment**: *These provisions have several implications. Specifically, we do not engage in any illegal behavior, including but not limited to: theft, fraud, corruption, embezzlement, or bribery. Further, we do not take or abuse the property of others, including intellectual property, nor do we engage in slander or libel. In focus groups conducted with practitioners around the globe, these types of illegal behaviors were mentioned as being problematic.*
*As practitioners and representatives of our profession, we do not condone or assist others in engaging in illegal behavior. We report any illegal or unethical conduct. Reporting is not easy and we recognize that it may have negative consequences. Since recent corporate scandals, many organizations have adopted policies to protect employees who reveal the truth about illegal or unethical activities. Some governments have also adopted legislation to protect employees who come forward with the truth.*

Ethics Complaints
>  2.3.3 We bring violations of this Code to the attention of the appropriate body for resolution.
>  2.3.4 We only file ethics complaints when they are substantiated by facts.

**Comment**: *These provisions have several implications. We cooperate with PMI concerning ethics violations and the collection of related information whether we are a complainant or a respondent. We also abstain from accusing others of ethical misconduct when we do not have all the facts. Further, we pursue disciplinary action against individuals who knowingly make false allegations against others.*
>  2.3.5 We pursue disciplinary action against an individual who retaliates against a person raising ethics concerns.

## CHAPTER 3. RESPECT
### 3.1 Description of Respect
Respect is our duty to show a high regard for ourselves, others, and the resources entrusted to us. Resources entrusted to us may include people, money, reputation, the safety of others, and natural or environmental resources.

An environment of respect engenders trust, confidence, and performance excellence by fostering mutual cooperation — an environment where diverse perspectives and views are encouraged and valued.

## 3.2 Respect: Aspirational Standards

As <u>practitioners</u> in the global project management community:

3.2.1 We inform ourselves about the norms and customs of others and avoid engaging in behaviors they might consider disrespectful.

3.2.2 We listen to others' points of view, seeking to understand them.

3.2.3 We approach directly those persons with whom we have a conflict or disagreement.

3.2.4 We conduct ourselves in a professional manner, even when it is not reciprocated.

**Comment:** *An implication of these provisions is that we avoid engaging in gossip and avoid making negative remarks to undermine another person's reputation. We also have a duty under this Code to confront others who engage in these types of behaviors.*

## 3.3 Respect: Mandatory Standards

As <u>practitioners</u> in the global project management community, we require the following of ourselves and our fellow practitioners:

3.3.1 We negotiate in good faith.

3.3.2 We do not exercise the power of our expertise or position to influence the decisions or actions of others in order to benefit personally at their expense.

3.3.3 We do not act in an <u>abusive manner</u> toward others.

3.3.4 We respect the property rights of others.


## CHAPTER 4. FAIRNESS

## 4.1 Description of Fairness

Fairness is our duty to make decisions and act impartially and objectively. Our conduct must be free from competing self interest, prejudice, and favoritism.

## 4.2 Fairness: Aspirational Standards

As <u>practitioners</u> in the global project management community:

4.2.1 We demonstrate transparency in our decision-making process.

4.2.2 We constantly reexamine our impartiality and objectivity, taking corrective action as appropriate.

**Comment:** *Research with practitioners indicated that the subject of conflicts of interest is one of the most challenging faced by our profession. One of the biggest problems practitioners report is not recognizing when we have conflicted loyalties and recognizing when we are inadvertently placing ourselves or others in a conflict-of-interest situation. We as practitioners must proactively search for potential conflicts and help each other by highlighting each other's potential conflicts of interest and insisting that they be resolved.*

4.2.3 We provide equal access to information to those who are authorized to have that information.

4.2.4 We make opportunities equally available to qualified candidates.

**Comment:** *An implication of these provisions is, in the case of a contracting arrangement, we provide equal access to information during the bidding process.*

## 4.3 Fairness: Mandatory Standards

As practitioners in the global project management community, we require the following of ourselves and our fellow practitioners:

<u>Conflict of Interest</u> Situations

4.3.1 We proactively and fully disclose any real or potential conflicts of interest to the appropriate stakeholders.

4.3.2 When we realize that we have a real or potential <u>conflict of interest</u>, we refrain from engaging in the decision-making process or otherwise attempting to influence outcomes, unless or until: we have made full disclosure to the affected stakeholders; we have an approved mitigation plan; and we have obtained the consent of the stakeholders to proceed.

**Comment:** *A <u>conflict of interest</u> occurs when we are in a position to influence decisions or other outcomes on behalf of one party when such decisions or outcomes could affect one or more other parties with which we have competing loyalties. For example, when we are acting as an employee, we have a <u>duty of loyalty</u> to our employer. When we are acting as a PMI volunteer, we have a <u>duty of loyalty</u> to the <u>Project Management Institute</u>. We must recognize these divergent interests and refrain from influencing decisions when we have a <u>conflict of interest</u>.*

*Further, even if we believe that we can set aside our divided loyalties and make decisions impartially, we treat the appearance of a <u>conflict of interest</u> as a <u>conflict of interest</u> and follow the provisions described in the Code.*

Favoritism and Discrimination

4.3.3 We do not hire or fire, reward or punish, or award or deny contracts based on personal considerations, including but not limited to, favoritism, nepotism, or bribery.

4.3.4 We do not discriminate against others based on, but not limited to, gender, race, age, religion, disability, nationality, or sexual orientation.

4.3.5 We apply the rules of the organization (employer, <u>Project Management Institute</u>, or other group) without favoritism or prejudice.

## CHAPTER 5. HONESTY
### 5.1 Description of Honesty
Honesty is our duty to understand the truth and act in a truthful manner both in our communications and in our conduct.
### 5.2 Honesty: Aspirational Standards
As <u>practitioners</u> in the global project management community:
   5.2.1 We earnestly seek to understand the truth.
   5.2.2 We are truthful in our communications and in our conduct.
   5.2.3 We provide accurate information in a timely manner.
   **Comment:** *An implication of these provisions is that we take appropriate steps to ensure that the information we are basing our decisions upon or providing to others is accurate, reliable, and timely.*
   *This includes having the courage to share bad news even when it may be poorly received. Also, when outcomes are negative, we avoid burying information or shifting blame to others. When outcomes are positive, we avoid taking credit for the achievements of others. These provisions reinforce our commitment to be both honest and responsible.*
   5.2.4 We make commitments and promises, implied or explicit, in good faith.
   5.2.5 We strive to create an environment in which others feel safe to tell the truth.
### 5.3 Honesty: Mandatory Standards
As practitioners in the global project management community, we require the following of ourselves and our fellow practitioners:
   5.3.1 We do not engage in or condone behavior that is designed to deceive others, including but not limited to, making misleading or false statements, stating half-truths, providing information out of context or withholding information that, if known, would render our statements as misleading or incomplete.
   5.3.2 We do not engage in dishonest behavior with the intention of personal gain or at the expense of another.
   **Comment:** *The aspirational standards exhort us to be truthful. Half-truths and non-disclosures intended to mislead stakeholders are as unprofessional as affirmatively making misrepresentations. We develop credibility by providing complete and accurate information.*


## APPENDIX A
### A.1 History of this Standard
PMI's vision of project management as an independent profession drove our early work in ethics. In 1981, the PMI Board of Directors formed an Ethics, Standards and Accreditation Group. One task required the group to deliberate on the need for a code of ethics for the profession. The team's report contained the first documented PMI discussion of ethics for the project management profession. This report was submitted to the PMI Board of Directors in August 1982 and published as a supplement to the August 1983 *Project Management Quarterly.*
In the late 1980's, this standard evolved to become the Ethics Standard for the Project Management Professional [PMP®]. In 1997, the PMI Board determined the need for a member code of ethics. The PMI Board formed the Ethics Policy Documentation Committee to draft and publish an ethics standard for PMI's membership. The Board approved the new Member Code of Ethics in October 1998. This was followed by Board approval of the Member Case Procedures in January 1999, which provided a process for the submission of an ethics complaint and a determination as to whether a violation had occurred.
Since the 1998 Code was adopted, many dramatic changes have occurred within PMI and the business world. PMI membership has grown significantly. A great deal of growth has also occurred in regions outside North America. In the business world, ethics scandals have caused the downfall of global corporations and non-profits, causing public outrage and sparking increased government regulations. Globalization has brought economies closer together but has caused a realization that our practice of ethics may differ from culture to culture. The rapid, continuing pace of technological change has provided new opportunities, but has also introduced new challenges, including new ethical dilemmas.
For these reasons, in 2003 the PMI Board of Directors called for the reexamination of our codes of ethics. In 2004, the PMI Board commissioned the Ethics Standards Review Committee [ESRC] to review the codes of ethics and develop a process for revising the codes. The ESRC developed processes that would encourage active participation by the global project management community. In 2005, the PMI Board approved the processes for revising the code, agreeing that global participation by the project management community was paramount. In 2005, the Board also commissioned the Ethics Standards Development Committee to carry out the Board-approved process and deliver the revised code by the end of 2006. This Code of Ethics and Professional Development was approved by the PMI Board of Directors in October 2006.

**A.2 Process Used to Create This Standard**
The first step by the Ethics Standards Development Committee [ESDC] in the development of this Code was to understand the ethical issues facing the project management community and to understand the values and viewpoints of practitioners from all regions of the globe. This was accomplished by a variety of mechanisms including focus group discussions and two internet surveys involving practitioners, members, volunteers, and people holding a PMI certification. Additionally, the team analyzed the ethics codes of 24 non-profit associations from various regions of the world, researched best practices in the development of ethics standards, and explored the ethics-related tenets of PMI's strategic plan.

This extensive research conducted by the ESDC provided the backdrop for developing the exposure draft of the PMI Code of Ethics and Professional Conduct. The exposure draft was circulated to the global project management community for comment. The rigorous, standards development processes established by the American National Standards Institute were followed during the development of the Code because these processes were used for PMI technical standard development projects and were deemed to represent the best practices for obtaining and adjudicating stakeholder feedback to the exposure draft.

The result of this effort is a Code of Ethics and Professional Conduct that not only describes the ethical values to which the global project management community aspires, but also addresses the specific conduct that is mandatory for every individual bound by this Code. Violations of the PMI Code of Ethics and Professional Conduct may result in sanctions by PMI under the ethics Case Procedures.

The ESDC learned that as practitioners of project management, our community takes its commitment to ethics very seriously and we hold ourselves and our peers in the global project management community accountable to conduct ourselves in accordance with the provisions of this Code.


**APPENDIX B**
**B.1 Glossary**

**Abusive Manner.** Conduct that results in physical harm or creates intense feelings of fear*,* humiliation, manipulation, or exploitation in another person.

**Conflict of Interest.** A situation that arises when a practitioner of project management is faced with making a decision or doing some act that will benefit the practitioner or another person or organization to which the practitioner owes a <u>duty of loyalty</u> and at the same time will harm another person or organization to which the practitioner owes a similar <u>duty of loyalty</u>. The only way practitioners can resolve conflicting duties is to disclose the conflict to those affected and allow them to make the decision about how the practitioner should proceed.

**Duty of Loyalty.** A person's responsibility, legal or moral, to promote the best interest of an organization or other person with whom they are affiliated.

**Project Management Institute [PMI].** The totality of the Project Management Institute, including its committees, groups, and chartered components such as chapters, colleges, and specific interest groups.

**PMI Member.** A person who has joined the Project Management Institute as a member.

**PMI-Sponsored Activities.** Activities that include, but are not limited to, participation on a PMI Member Advisory Group, PMI standard development team, or another PMI working group or committee. This also includes activities engaged in under the auspices of a chartered PMI component organization—whether it is in a leadership role in the component or another type of component educational activity or event.

**Practitioner.** A person engaged in an activity that contributes to the management of a project, portfolio, or program, as part of the project management profession.

**PMI Volunteer.** A person who participates in <u>PMI-sponsored activities</u>, whether a member of the <u>Project Management Institute</u> or not.

# PMI Certification Application/Renewal Agreement

1) I agree to satisfy and conduct myself in accordance with all PMI certification program policies and requirements, including this Agreement and the PMI Code of Ethics and Professional Conduct (as they may be revised from time to time); and I shall maintain confidentiality of PMI examination questions and content. Furthermore, I agree not to discuss, debrief or disclose, in any manner, the specific content of PMI examination questions and answers, to any individual.

2) I agree that I shall at all times act in a truthful and honest manner and provide truthful and accurate information to PMI. I agree that any intentional or unintentional failure to provide true, timely and complete responses to questions in this application or renewal form may lead to further investigation and/or sanctions by PMI. I also agree to promptly report to PMI any possible violations of the terms of this Agreement or the PMI Code of Ethics and Professional Conduct by PMI members or by persons who have applied for a PMI credential or have been awarded a credential by PMI.

3) I agree to notify the PMI Certification Department in a timely manner of changes concerning the information I have provided, including my current address and telephone number.

4) I have reported, and will continue to report, to the PMI Certification Department, within sixty (60) days of occurrence, any matters, proceedings, lawsuits, settlements and/or other agreements, administrative agency actions, or organizational actions relating to my profession or occupation, including all complaints relating to my professional activities as a project management practitioner, and matters or proceedings involving, but not limited to certification, credentialing, malpractice, disciplinary ethics or similar matters. I also agree to promptly report, within sixty (60) days of occurrence, any felony criminal charges, convictions, or plea agreements or other criminal charges, convictions, or plea agreements relating to acts of dishonesty or unethical conduct.

5) I agree that if my compliance with any of the terms of this agreement requires or includes an explanation and supporting documents, I will provide a complete and accurate explanation and true copies of the materials to the PMI Certification Department with this application.

6) I agree that the PMI Certification Department has the right to communicate with any person, government agency or organization to review or confirm the information in this application or any other information related to my application for PMI credentialing. Further, I agree to and authorize the release of any information requested by the PMI Certification Department for such review and confirmation.

7) I agree that the PMI credential status does not imply licensure, registration or government authorization to practice project management or to engage in related activities.

8) I agree that all materials that I submit to the PMI Certification Department become the property of the PMI Certification Department, and that the PMI Certification Department is not required to return any of these materials to me.

9) I agree that upon achieving the PMI credential, my name may be posted on the PMI website as part of an Online Registry to be created and maintained by PMI.

10) I agree that information related to my participation in the PMI certification process may be used in an anonymous manner for research purposes only.

11) I agree that all disputes relating in any way to my application for a PMI credential and/or my involvement generally in a PMI certification program, will be resolved solely and exclusively by means of PMI Certification Department policies, procedures and rules, including the Appeals Process.

12) PMI reserves the right to suspend or revoke the credential of any individual who is determined to have failed to uphold, or otherwise breached this Agreement, or committed a violation of the PMI Code of Ethics and Professional Conduct.

13) I release and indemnify PMI and the PMI Certification Department from all liability and claims that may arise out of, or be related to, my project management and related activities.

14) I hereby release, discharge and indemnify PMI, its directors, officers, members, examiners, employees, attorneys, representatives, agents and the PMI Certification Department from any actions, suits, obligations, damages, claims or demands arising out of or in connection with this application, the scores given with respect to the examination or any other action taken by PMI with regard to credentialing, testing and professional development including, but not limited to, all actions related to ethics matters and cases. I understand and agree that any decision concerning my qualification for any credential, as well as any decisions regarding my continuing qualification for any credential and my compliance with the PMI Code of Ethics and Professional Conduct, rest within the sole and exclusive discretion of PMI, and that these decisions are final.

The Certification Application/Renewal Agreement may be revised periodically. It is your responsibility to obtain the most up-to-date copy online. **Document last updated March 2007.**

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