

## 8.0 COMPLAINTS AND APPEALS

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### 8.0 Complaints and Appeals

#### 8.1 Complaints and Appeals Policy

##### Policy Statement

The **Appeals** process is the activity of ensuring an impartial examination of the concerns of an individual who has applied for or received certification or recertification by Certification Division of CFMA and seeks to contest an adverse decision or proposed action.

##### Responsibility

The Certification Ethics, Complaints and Appeals Committee establishes and maintains this procedure and responds to appeals by appellants.

##### Procedure

The Ethics, Complaints and Appeals Committee will review appeals and respond to appellants.

- A. An appeal is submitted in writing by persons seeking an amendment of an adverse decision on the following issues:
  1. Denial of admission to the CCIFP examination
  2. Denial of initial certification, excluding failure of examination
  3. Denial of renewal of certification
  4. Revocation of active certification status.
- B. The complete appeal application consists of three components:
  1. Request for appeal
  2. Written documentation supporting the appeal clearly stating the basis upon which the individual feels there has been an adverse decision
  3. A \$250 filing fee.
- C. Appellant procedure:
  1. The appellant will submit the appeal application within thirty (30) days of the event from which the appeal originated to the Executive Director, Certification at the following address: Executive Director, Certification, 100 Village Blvd, Suite 200, Princeton, NJ 08540. The appellant may also send the Appeal via email.
  2. The appellant has the right to obtain his/her own legal counsel in preparation of the written appeal.
- D. Executive Director and Appeals Committee procedure:
  1. The Executive Director will forward all materials to the appeals committee within ten (10) business days of payment of the \$250 filing fee.
  2. A meeting of the Appeals Committee shall be held either in person and/or by telephone or video conference.
  3. A majority vote, with at least five (5) voting members of the Appeals Committee present and voting, is required for a decision.
  4. The majority decision of the Committee shall be confirmed in writing via a motion recorded in the meeting minutes.

## 8.0 COMPLAINTS AND APPEALS

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5. The Appeals committee shall forward its recommendation to the Executive Director for final action.
6. The Executive Director shall call a meeting of the Officers of the Certification Board within 10 business days (10) days to ratify the recommendation of the Appeals Committee.
7. Within thirty (30) days of receipt of the appeal by the Officers of the Certification Board, the appellant will be notified of the decision via traceable carrier.

### 8.2 Actions and Decisions Concerning the Certification Process

The Appeals Committee will make one of the following decisions with regard to a certificant's Appeal Application: (a) grant recertification; (b) conditionally accept the Recertification Application, pending satisfactory completion of all past and/or current recertification requirements; (c) request additional information; or, (d) reject the application on the ground(s) that the certificant does not meet the necessary criteria for recertification, or the certificant has violated, or acted contrary to, a Certification Program policy or rule. The applicant may have the option of applying for CCIFP certification as a new candidate should the Committee find no wrongdoing that would prevent the applicant from becoming certified as a new candidate.

The committee believes all Appellants are acting in good faith and attempt to work with each and every certificant to find a fair and equitable solution.

### 8.3 Review of the Appeals Procedure

#### Responsibilities

The Ethics, Complaints and Appeals Committee is responsible for establishing, maintaining and publishing the appeals procedure.

#### Procedures

- A. The Certification Appeals Procedure is part of Section 8.1 of this Policies and Procedures Manual.
- B. The Ethics, Complaints and Appeals Committee (ECAC) reviews appeals activity, evaluates the efficacy thereof, and considers potential improvements, if any, to the document by following the Process Change Protocol described in section 2 of this manual.

## **8.0 COMPLAINTS AND APPEALS**

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### **8.4 Code of Ethics Complaints**

#### **Policy Statement**

The Code of Ethics Enforcement Procedure is the activity of ensuring an impartial examination of potential violations of the CCIFP Code of Ethics that are presented to the Certification Department as complaints as defined in the Procedure.

Complaints may be submitted, in writing, by anyone who becomes aware of a potential breach of the CCIFP Code of Ethics.

Complaints may also originate as a result of surveillance activities conducted by the CCIFP Ethics Committee as explained in Section 7.

#### **Responsibility**

The Ethics, Complaints and Appeals Committee (ECAC) establishes and maintains the Code of Ethics and the Code of Ethics Enforcement Procedure.

The Ethics, Complaints and Appeals Committee (ECAC) responds to ethics complaints presented to The CCIFP Certification Division pursuant to Appendix F.

### **8.5 Review of the Code of Ethics Enforcement Procedure**

Refer to Section 7 of the Certification Division P&P manual.