



Complaint Policy

Policy Statement

The Association of Change Management Professionals (ACMP) is committed to providing quality service by operating in a transparent and accountable way that builds trust and respect with all of our stakeholders. One of the ways in which we continue improving our service is by listening to our members, customers and stakeholders, by addressing both formal and informal complaints expeditiously and by correcting errors or mistakes.

The ACMP aims to ensure that:

- Registering a complaint is as simple as possible;
- Complaints are considered a clear expression of dissatisfaction with our service and will be responded to immediately, respectfully and confidentially using established documentation guidelines;
- Resolutions are appropriate to the situation with a correct and fitting action taken to remedy any complaint;
- We learn from complaints, use them to improve our service, and review them annually to ensure that this policy and its supporting procedures remain relevant and continually improve.

Purpose

The complaint procedure is intended to ensure that all complaints are handled fairly and consistently.

Definitions

Complaint: Any expression of dissatisfaction (with ACMP, a staff member, an ACMP member or a CCMP™ credential holder) that relates to ACMP and that requires a formal response. The CCMP™ credential is the focus of this Complaint Policy.

The following individuals may be referred to collectively as *Participants*.

Respondent: The subject of a CCMP™ complaint or investigation.

Complainant: The person initiating the complaint.

Witness: A person who provides written or oral testimony in connection with a CCMP™ complaint.

Certification Governance Committee: The CCMP™ governing body, which has guided the development of the global CCMP™ credential.

Chair: The head of (and member of) the Certification Governance Committee (CGC).

Certification Manager: The ACMP staff member who is responsible for managing all elements related to the CCMP™ credential including, but not limited to, establishing programs and policies, setting standards, developing materials, and providing leadership to achieve designated goals.



Complaint Policy

Complaint Handling

Informal Complaint

An informal approach is appropriate in some situations (referred to as a *Customer Service Complaint*) and does not require the use of a form to register the complaint. The Certification Manager shall address a Customer Service Complaint in a timely, confidential and proactive fashion. If concerns cannot be satisfactorily resolved informally, then the formal complaints procedure should be followed. Informal complaints may be directed via email to askccmp@acmp.info

Formal Complaint

A formal complaint will be handled by the Certification Manager and up to five members of the CGC. A formal complaint requires the use of the *CCMP™ Formal Complaint Form* and *CCMP™ Formal Response Form*.

Refer to the *Complaints Category* section of this policy for details about how complaints or violations relating to the Qualified Education Provider™ (QEP™) Program or the Code of Ethics and Professional Conduct will be handled.

ACMP is responsible for:

- Acknowledging the formal complaint in writing by certified mail within 30 days of receiving the complaint;
- Dealing reasonably and sensitively with the complaint; and
- Taking action where appropriate.

The Complainant is responsible for:

- Bringing their complaint, in writing, to ACMP's attention (help@acmpglobal.org) within 30 days of the issue arising;
- Raising concerns promptly and directly with any member of staff in ACMP;
- Explaining the problem clearly and thoroughly, including any action taken to date;
- Allowing ACMP reasonable time to address the matter (estimated at 30 days with routine timing updates); and
- Realizing that some circumstances may be beyond ACMP's control and they will be identified as such.

Responsibility for Action: All ACMP staff and Board members.

Confidentiality: Every attempt will be made to ensure that both the Complainant and ACMP maintain confidentiality throughout the complaint process. However, in some circumstances it may not be possible to maintain complete confidentiality (with each complaint judged on its own merit) in order to check certain facts related to the complaint. Should this be the case, the situation will be explained to the Complainant (refer the *CCMP™ Formal Complaint Form*, the Candidate Handbook and Code of Ethics and Professional Conduct for all applicable ways in which care will be exercised).



Complaint Policy

Monitoring and Reporting: ACMP's Board of Directors will receive an anonymized report annually of complaints made and their resolution for all types of complaints received over the year. Some complaints or violations may require immediate acknowledgement by the ACMP Board of Directors as they occur.

Complaint Categories

QEP Complaint: A QEP complaint of any type shall be directed to the QEP Governance Committee and shall be resolved according to the QEP Handbook.

Code of Ethics and Professional Conduct Complaint or Violation: a Code of Ethics and Professional Conduct complaint will be reviewed by the Code of Ethics and Professional Conduct Committee (referred to as the Ethics Committee) and requires completion of the *ACMP Ethics Complaint Form*.

Customer Service Complaint: an informal complaint, which can be addressed solely by the Certification Manager unless it cannot be satisfactorily resolved informally in which case, the formal CCMP™ Complaint procedure should be followed.

CCMP™ Complaint: a formal complaint that requires completion of the *CCMP™ Formal Complaint Form* and the *CCMP™ Formal Response Form*. The CCMP™ Complaint is the primary focus of this policy.

CCMP™ Complaint Process

The CGC is appointed by ACMP's Board of Directors. When a complaint form is submitted, the CGC shall oversee the compliance of ACMP Members, applicants, and certificants with the Candidate Handbook, the Policies and Procedures Manual and the Code of Ethics and Professional Conduct.

Notice of a Complaint

Anyone may lodge a complaint against a certificant or against the ACMP (the latter will be directed to the Ethics Committee). All complaints shall be directed to the Chair of the appropriate governance committee. CCMP™-specific complaints must be documented using the *CCMP™ Complaint Form*, completed in full and submitted to the CGC.

Complaints should be emailed to the ACMP office via help@acmpglobal.org. Upon receipt, the Certification Manager will review the complaint to determine if it contains reliable and sufficient information to find probable cause of a complaint or a violation related to the CCMP™ credential. Within thirty (30) days of receipt by the ACMP office, the Certification Manager shall take one of the following actions:



Complaint Policy

1. If the complaint is deemed frivolous or not substantive, the Certification Manager shall dispose of the written report and mail a letter to the complainant stating the reason(s) for its disposal (while maintaining appropriate documentation for records).
2. If there is probable cause and that the complaint is valid and actionable, the complainant shall be notified by certified mail. Any information provided by the complainant may be used in the investigative process. At this stage of the process, the only individuals within ACMP privy to the names of the member and/or certificant being considered for disciplinary action shall be: the Certification Manager, the CGC Chair and the Board Liaison for the CCMP™. Discussions with the CGC and recommendations to the CGC shall use the individual's membership and/or certificant identification number as an identifier in an effort to maintain confidentiality throughout the process.
3. If the Certification Manager, CGC Chair and CCMP™ Board Liaison determine there is probable cause that a complaint is valid and actionable, that the matter is capable of resolution without formal proceedings, and that the certificant is amenable, the Certification Manager may attempt to resolve the complaint through an informal process directly with the certificant or individual making the complaint

If ACMP learns of a possible violation by a certificant of the ACMP Code of Ethics, ACMP may initiate the disciplinary process against the certificant on its own. In such event, the matter shall be sent to the Chair of the Ethics Committee to determine whether there is reliable and sufficient information to find probable cause of a violation of the ACMP Code of Ethics. See this Code of Ethics and Professional Conduct Complaint Policy.

Notification and Response

If the Certification Manager, CGC Chair, and CCMP™ Board Liaison find probable cause that a complaint is valid and actionable, the complaint will be submitted to the CGC for review and recommendations. If a recommendation is made to suspend or revoke an individual's credential (and if a member of ACMP, their membership), then this information will subsequently be included in the notification. Upon receiving the notification, the certificant/respondent will have thirty (30) days to respond and provide information or a request for an appeal. Any information provided at this point may also be used in the investigative process.

Investigative Process

- **Review:** The CGC shall review the matter referred for a formal review and determine its severity. All valid and actionable matters shall be investigated by the CGC, the CGC Chair, the Certification Manager and the CCMP™ Board Liaison in collaboration with ACMP's Board of Directors. Legal counsel may be consulted throughout the process.
- **Investigation:** The Certification Manager may contact the complainant or the respondent for additional information regarding the matter. The Certification Manager and the CGC Chair shall supervise and direct all formal complaints to the CGC and use discretion concerning confidentiality and impartiality.



Complaint Policy

- Confidentiality: The Certification Manager, the CGC Chair and the CCMP™ Board Liaison shall attempt to conduct all investigations in confidence, objectively, and without any indication of prejudgment. An investigation will be limited to aspects of a matter that are relevant or potentially relevant to a decision on the complaint. Formal hearings are not conducted unless the factual circumstances of the matter are disputed.

CGC members are volunteers but may be reimbursed for expenses under applicable guidelines of the ACMP Board.

Hearing Process

ACMP's Certification Manager may call for a formal hearing provided the matter meets the requirements established by ACMP (i.e., factual circumstances of the matter are disputed). The purpose of a formal hearing is to provide a non-judicial step in the complaint process for determining truth between the involved parties when at least one of the following is applicable:

1. There is disagreement regarding the facts in question which cannot be clarified by the Committee members by phone or written communication;
2. Testimonies are necessary to determine the facts. Legal counsel may represent the complainant during the hearing, and the CCMP™ Certification Manager, the Board Liaison, or the CGC may consult with legal counsel throughout the proceedings. The complainant shall be notified concerning the date and time of the hearing via certified, return receipt mail. The complainant must confirm his or her availability for the meeting within the time frame stated in the notice. Members of the Complaint Committee shall conduct the hearing. The Chair of the CGC shall act as a facilitator or shall appoint a facilitator from members of the committee.
 - a) Hearings are not open to the public and therefore no public notice shall be given.
 - b) The process shall begin with a discussion of the confidentiality agreements and statement of purpose for the hearing.
 - c) The complainant shall be given time to speak to the matter.
 - d) CGC members and/or the facilitator shall ask questions for clarification purposes or to gather more substantive information pertaining to the matter.
 - e) Testimony shall be recorded, either electronically or via written minutes.
 - f) The complainant may not be present during CGC deliberation. The deliberation shall not be recorded on tapes or notes.
 - g) There is no time limit on the deliberation. The facilitator shall ensure that each Complaint Committee member presents an opinion and all sides of the issue are discussed. The close of the deliberation shall be decided by consensus.
 - h) A determination of a violation and recommendation of sanction shall be completed through a voting process by the CGC immediately after the deliberation. This vote shall be recorded in writing. A rationale for the decision shall be included. All CGC members must agree to keep the discussion confidential. Documentation of the outcome is the responsibility of the Certification Manager.



Complaint Policy

3. Records: Recorded hearings or minutes are the property of ACMP and may only be reviewed as a reference in the aid of a fair determination of the alleged complaint or a subsequent appeal. Reviews must take place in the presence of a Committee member or the Certification Manager. Those who may review the records are limited to the ACMP CGC, witnesses, the Board of Directors and the complainant, if there is one, unless required by law.
4. Recorder: A recorder may be present to take minutes or record the proceedings. The recorder need not be a member of the Complaint Committee.
5. Documentation of all findings is the responsibility of the Certification Manager.

Determination of Violation

If the complaint is against an ACMP certificant, upon completion of deliberations, the CGC shall determine whether there has been a violation. Should the CGC make a determination that there has been a violation; the CGC shall recommend the imposition of a sanction that must reasonably relate to the nature and severity of the violation, focusing on the reformation of the conduct of the member and/or certificant and the deterrence of similar conduct by others. The determination and recommended sanction shall be communicated in writing to the CGC Chair to begin the approval process. If the CGC recommends against a determination that a violation has occurred, the complaint shall be dismissed with notice to the complainant, if any; a summary report shall also be documented appropriately with a rationale included.

Sanctions

Any of the following sanctions may be imposed upon an ACMP certificant by ACMP based on the recommendations of the Complaint Committee:

- 1) The CGC may send a written reprimand to the certificant. A copy shall be kept on file with ACMP and shall be considered public information. The written reprimand shall be sent via certified, return receipt mail.
- 2) After a written reprimand, if the CGC determines that the same violation has occurred again, greater sanctions may be imposed without the need of further Board or CGC approval, if so stated in the initial written reprimand.
- 3) ACMP may suspend an individual's certification and membership status and all rights associated with that status for a designated period. In this instance, the certification certificate should be returned to ACMP during this time. If this is not completed as requested, this must be documented with the rest of the ruling.
- 4) ACMP may call for the revocation of membership and the ACMP credential. If the credential is revoked, the certificant may not apply for certification maintenance or apply for initial certification at a later date. Revoked certificates and letters of official award of certification must be returned to ACMP once notice is received.
- 5) Other resolutions such as restrictions, written promises, or required actions to resolve the problem may be recommended by the CGC.



Complaint Policy

Approval of the Recommendation of Sanctions by ACMP

It is ACMP's responsibility to ensure that the CGC Chair and all of the CGC members adhere to the mission, Code of Ethics and Professional Conduct, Candidate Handbook and Policies and Procedures Manual. If a recommendation from the CGC is found to be incongruent with policies, procedures, the mission statement, Code of Ethics and Professional Conduct, or legal advice, ACMP's Board of Directors may ask the CGC Chair to revise the recommendation.

- a) The CGC may at any time choose to bring the recommendation forward to the full ACMP Board or a special committee of the Board.
- b) The recommendations are reviewed to determine ONLY that the process and outcome is consistent with the Board's current policies, procedures, guidelines and Accountability Standards. The CGC Chair may be present during questions. The ACMP Board or ACMP Board Chair may confer with legal counsel to determine approval.
- c) Voting: The recommendation is stated in a motion by an ACMP Board member and seconded. Only Board members not involved in the investigation may vote. Anyone who may have a bias must declare their bias and not vote. The recommendation is approved or rejected by a majority vote of the remaining members of the Board. In the event there is an even number, the CGC Chair shall vote. If there are no members on the Board who qualify to vote, the ACMP Board President shall confer with legal counsel to approve or reject the recommendation. If a Board member is the subject of the complaint, the Board member shall be excused during discussion and voting. If the recommendation is not approved, modifications shall be considered with the involvement of the Chair of the CGC.
- d) The outcome of the vote is effective immediately.
- e) Reporting: After making their final decisions, the Board of Directors shall submit the outcomes to the Chair of the CGC and the Certification Manager for placement in the appropriate case files.

Notification of Sanctions

Following approval of a sanction, the complainant shall be notified via certified, return receipt mail (follow-up should occur in 5 business days).

Determination that the complainant has been notified must be verified before any other parties are informed of the outcome.

Appeal

If an individual wishes to appeal the aforementioned decisions, they may do so through ACMP's Appeal process documented in the Appeal Policy.

Resignation

ACMP shall accept the voluntary resignation of any certificant who is the subject of a disciplinary investigation.

Admission of Guilt

Investigative procedures shall be ceased and the Committee shall recommend a sanction to ACMP for approval and notification should a certificant who is the subject of a disciplinary investigation admit to having violated the Code of Ethics and Professional Conduct, policies, or any requirements established



Complaint Policy

by the ACMP Board that are the subject of the investigation. By admission of guilt, the certificant waives his/her right to a hearing or appeal process.

Priority of Legal Investigations

Legal investigations take precedence over ACMP's investigative procedures. The ACMP CGC shall not consider a Complaint when civil, criminal, or other regulatory proceedings are in process.