



Code of Ethics Complaints Review Policy

Overview: The Ethics Review Committee (ERC) is in place to uphold the professional and ethical standards stated in the ACMP Code of Ethics applicable to members of the Association and credential holders who practice change management. The ERC's process provides a framework that allows for peer review of formally filed complaints involving alleged breaches of the ACMP Code of Ethics by an ACMP member or credential holder. Though it is not a legal process, it provides due process by offering an administrative system in which potential violations of the Code of Ethics can be investigated and adjudicated. The process ensures a structure that offers an objective approach to investigating complaints while demonstrating fairness and respect to all parties involved. This process should be treated as transparently and consistently as possible.

Scope: This policy outlines the types of complaints that will be accepted by the ERC and the expected behaviors of the stakeholders involved in the review process.

Strategic Alignment:

- SO1- Grow the Community: ACMP expands its membership base, geographic representation (chapters / communities), and strategic partnerships to support and grow a global community of change leaders and practitioners.
- SO2- Advance the Profession: ACMP leads the way change works through technical expertise and innovation around the discipline of change management.
- SO4- Foster Diversity, Equity & Inclusion: ACMP fosters diversity, equity, inclusion and belonging in its programs, services and volunteer opportunities.

Policy:

Policies Related to the Complaint:

1. All tenets of the Code of Ethics are of equal weight and importance.
2. Only complaints against current ACMP members or credential holders will be reviewed and/or investigated. The Code of Ethics applies when the member or credential holder is acting as a change management professional. "Acting" means they are performing the role of a change manager or using their membership or credential to conduct a professional activity. This can include, but is not limited to, participation in ACMP events and activities.
3. Complaints are only reviewed if filed within one year of the date of the alleged violation or within one year of the date of discovery of the alleged violation if reasonable diligence is used as determined by the ERC.
4. Complaints can only be filed against an individual, not a group. If more than one person is involved, separate complaint forms need to be submitted for each individual. Complaints involving Qualified

Education Providers (QEPs) will not be reviewed by the ERC process and should be submitted separately, by emailing askccmp@acmpglobal.org.

5. If an ACMP logo is incorrectly used or in a misleading manner, this is a legal issue between ACMP and the professional and is handled by ACMP staff or ACMP legal counsel. Complaints of this nature should not be submitted with the Ethics Complaint Process but may be emailed to info@acmpglobal.org.
6. Complaints involving pre-existing, pending and related civil or criminal actions that are involved in an ongoing legal matter will be dismissed without prejudice.
7. It is not the responsibility of the ERC to determine intellectual property violations except to the extent such actions are also in violation of the Code of Ethics.
8. Complainants will not be provided access to confidential reports, notes, findings or other written records generated or relied upon in connection with the complaint, investigation and deliberation process. They will, however, be informed of the outcome of the process.
9. A complaint case is not considered closed until it has been dismissed, or has undergone any appeals process or period, and if applicable, any corrective action has been completed and submitted to the ERC Committee.
10. Upon conclusion of the review, the Complainant will be notified if the case was dismissed. If corrective action was assigned, no further details of the review will be shared with the Complainant.
11. There may be instances when an ACMP member decides to resign from ACMP in the middle of the review process, if this occurs the case will be dismissed. All members and credential holders are bound by the Code of Ethics. If the ERC finds that a violation has occurred, they may issue a corrective action. If the determination is that it is serious enough to warrant the suspension of an ACMP credential, ACMP will suspend the credential. If they resign their membership, that should not impede ACMP from considering the continuation of them holding the credential. While the resigned member may choose to ignore communications or sanctions given by ACMP, they will be prohibited from rejoining ACMP without addressing the findings or learning plan in the future.
12. If the respondent does not cooperate with the process, the process will continue. If there is no response to any corrective action requested, further action may be taken such as any membership or credential may be suspended or revoked.

Policies Related to the Ethics Review Process and Stakeholders Involved:

13. Members of the ERC must be members for at least 3 years to participate in the committee.
14. Members of the ERC will be held to the highest standards of confidentiality and impartiality and will be asked to sign the ACMP Volunteer Terms of Service upon joining the ERC and on an annual basis.
15. All complaints and related documentation will be stored in a secure folder that only select staff and members of the Ethics Inquiry & Compliance Committee (ERC) can access.
16. Committee Members shall keep confidential (within the ERC Committee) any and all information relating to complaints and committee conversations, unless compelled by legal process to disclose such information, or otherwise agreed to by ACMP and ERC leadership.
17. Members of the ERC serving in the capacity as a volunteer of ACMP are protected by ACMP's Directors and Officers insurance and applicable state and Federal laws, provided that they conduct themselves in a manner consistent with such laws and the authority given to an ACMP member.
18. The ERC is independent in decision-making with respect to violations of the Code of Ethics but is not independent from ACMP. The decisions of the ERC are independent of ratification or oversight by the ACMP Global board or any other entity within ACMP. If an ACMP Global Board member serves on the

committee, they are unable to participate in making decisions or share any information discussed about complaints outside of the committee meetings.

19. Upon initial review of the complaint filed, if a member sees a conflict of interest associated with the Complainant, Respondent, Persons listed in the complaint or with the actions or organization included in the complaint, the member must share the potential conflict of interest and excuse themselves from the review process.
20. Individuals involved in the initial review team investigating a complaint cannot also serve on the appeals review team if an appeal is filed.
21. If a complaint moves to the investigation phase, a notice that a complaint is under investigation will be sent to the Board Secretary and CEO. Any names mentioned in the report will be redacted to maintain confidentiality.
22. When an investigation is completed, a final report will be written by the committee and the executive summary will be shared with the Board Secretary and CEO. Any names mentioned in the report will be redacted to maintain confidentiality.
23. Upon conclusion of the review, the Complainant will be notified if the case is dismissed or if corrective action is recommended, but no further details will be shared.
24. The case is not considered closed until it is either dismissed, or if a corrective action was completed.

Related Documents: Standard for Change Management® & Code of Ethics

Version Control:

Revision History				
Category, Tier, Version #	Revision Date	Description of Changes	Approved By	Approval Date
GOV, Tier 1, 1	4/8/2024	Original policy	Board of Directors	27 June 2024