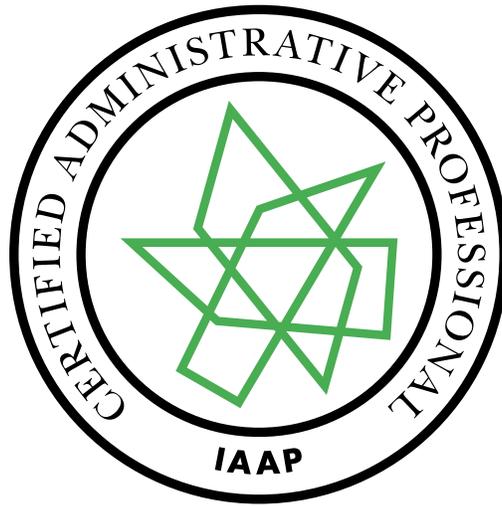


Certified Administrative Professional



POLICIES AND PROCEDURES

Implemented October 2017



POLICIES AND PROCEDURES

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Purpose and Name

Purpose and Name—Certification Administration Board: The Certification Administration Board (hereafter referred to as “CAB” or “Board”) is an independent certifying body of the International Association of Administrative Professionals (hereafter referred to as “IAAP”). The CAB awards the Certified Administrative Professional credential (hereafter referred to as “CAP”) and is responsible for setting policy and standards related to the CAP Program.

The CAB Governance Handbook establishes policies for the operations of the CAB. These policies and procedures focus on the administration of the CAP Program.

Purpose and Name—Certified Administrative Professional Program: The Certified Administrative Professional Program (hereafter referred to as “CAP Program” or “Program”) is the offering of an exam that may lead to the issuance of the CAP, the requirements to maintain certification, the process to obtain recertification and is intended to be inclusive of the CAB, IAAP and CAP Program staff, and all volunteers associated with this activity.

Scope of Practice

Scope of Practice-Administrative Professional

The CAP certification is designed for office and administrative professionals who engage in some, if not all, of the following:

- Organization communication (both verbal and written)
- Conduct business writing, including proofreading and editing
- Maintain office functions and record keeping
- Plan meetings, events, and arrange travel
- Manage projects
- Engage in or support human relations activities, such as hiring and compliance issues
- Maintain budgets and basic accounting functions
- Manage time and other resources for themselves and others
- Utilize technology, including virtual and mobile, with strong computer and internet research skills
- Coordinate communications between internal staff and/or external clients

Diversity Statement

The CAP Program is committed to diversity and equality in all activities. The Program, in both its values and practices, is committed to providing the community of administrative professionals with credentialing practices that are based on inclusion and diversity.

This means that there shall be no barriers to participation in any activity of the Program on the basis of gender, race, creed, age, sexual orientation, national origin, religion, or disability.

The Program will seek diversity and inclusiveness in its business practices and it will not condone any form of unlawful discrimination.

The Program recognizes and values the diverse skills, perspectives and experiences of the community of administrative professionals and believes inclusiveness enhances service to this community.

Confidentiality and Security

As the CAP Program offers a certification program, volunteers and staff will at times learn of confidential or sensitive information regarding CAP applicants or certified individuals including, but not limited to, such information as test scores, disciplinary actions and academic performance. This information is to be kept confidential and secure in perpetuity and should only be discussed when necessary with other members or staff or as necessary in the context of a disciplinary proceeding.

Security/Confidentiality Agreements: All CAB members, Subject Matter Expert (SME) Panel Item Writers, CAP Exam Commission members, and all other volunteers or staff members of IAAP or CAB with access to such information shall sign a security/confidentiality agreement or clauses in agreement prior to commencing service and shall retain this information only so long as necessary to complete any required tasks. Security/confidential agreements will be retained by the CAP Program.

The agreement will require these individuals to maintain in strict confidence any and all information related to CAP Program discussions and decisions unless prior approval is given by the Chair or staff or such information is made publicly available. This confidential information includes (but is not limited to) information related to the following:

- Applicants and Applications, both new and renewal
- Decisions and actions related to applications
- Item bank and exam development
- Disciplinary actions and appeals

Confidentiality of Applicant Information: Certification applications and candidates' performance on the CAP examination shall remain confidential unless otherwise stipulated by the examinee or as required by law. The CAP Program will release exam application and pass/fail information to the candidate, employer, educational institution only at the written request of the candidate and only in writing.

The exceptions to this are the published list of CAP holders that the Program makes available to the public and confirmation of CAP status. This list and confirmation process only provides the name, state/country of residence, and designation.

Storage of Confidential Information: All such confidential information shall be maintained in a safe and secure place, such as a locked file drawer or a protected electronic file. Reasonable steps will be taken to protect against inadvertent disclosure or theft of the information.

Upon termination of service with the CAP Program or one of its entities, the individual will forward a scan of any confidential information received or acquired relating to the certification program to the CAP Program staff, then destroy it and confirm the destruction with CAP Program staff.

Work for Hire: Any work done by an individual on behalf of the CAP Program is a work for hire and belongs to and remains the property of the CAP Program.

Volunteers involved in examination development (including SME) will be given limited access to confidential exam materials as needed to perform their exam development duties. All volunteers will sign a nondisclosure agreement prior to being granted access to any confidential materials.

Conflict of Interest

All CAP Program volunteers and staff agree not to engage in actions that may constitute an actual, apparent, or potential conflict of interest with the mission and activities of the CAP Program, and will execute a conflict of interest statement in any agreements to serve.

For a period of at least two (2) years after service to the CAP Program or its entities, or employment on behalf of the CAP Program, the individual with access to confidential exam materials will not become directly involved in any preparation or presentation of instructional materials or programs designed to prepare persons to complete the certification process nor will these persons be eligible to take the exam for this two year period if they are not holding the CAP credential at the time of their service.

CAP Program Panels and Committees

Standing Panels and Committees Established: The following are panels/commissions/working group or committees/sub-committees responsible for conduct of exam development and administration and their specific purposes and responsibilities; current standing: CAP Exam Commission, SME Item Writers Panel, and Appeals Committee.

CAP Exam Commission: CAP Exam Commission (hereafter referred to as "CEC" or "Commission") is a panel whose purpose is to ensure the industry relevancy of the CAP exam. Members will review CAP questions written by the SME Item Writers Panel before they are added to the test bank and review the exam forms to ensure alignment with the CAP Body of Knowledge.

Expectations: All Commission members are expected to:

- Participate in conference calls and/or web-meetings on certification best-practices – twice per year.
- Have familiarity with the CAP Body of Knowledge’s Domains and Performance Outcomes (PO).
- Participate in standard setting for CAP exam.
- Assure alignment of CAP exam questions and CAP Body of Knowledge.
- Review new CAP questions written by the SME Item Writers Panel for professional relevance.
- Proof and approve CAP exam forms – twice per year.

Selection Criteria:

- CAP certified individuals in good standing.
- Currently employed on a full-time basis as an administrative and/or office support professional.
- Signed Confidentiality Agreement.
- CEC members cannot conduct any training or exam preparation for the CAP exam due to a conflict of interest during their term or for two years following the end of their service on the CEC.
- Three-year term subject to continued renewal for an unlimited number of terms.

Composition of CAP Exam Commission: The Commission is comprised of 10-11 persons, two Certification Administrative Board (CAB) members and 8-9 CAP designees selected by the Manager, Certifications. Members are representative of the certified population, demographically, geographically, industry, and length of time certified.

Benefits of Participation: Service on the Commission has the following benefits:

- Promotion of the office and administrative profession by ensuring that the CAP program meets industry needs and certification program standards.
- Addition of skills and experience for future professional advancement including use of this service on a résumé.

SME Item Writers Panel: Examination questions, referred to as examination items, are developed by the SME Item Writers Panel (hereafter referred to as “IWP”). Each member of the IWP is qualified as a SME and assigned specific Performance Outcomes in the Body of Knowledge based on his/her area of expertise. The IWP members write questions using the Item Writers Guide.

All SMEs who are interested in joining the IWP are qualified through a review of their resume and credentials by the Manager, Certification. Each Item Writer receives training from psychometricians and test development experts on (i) the principles of measurement and testing, (ii) proper item construction and (iii) the terminology appropriate for the certification exam.

All IWP members are required to sign the International Association of Administrative Professionals (IAAP) SME Agreement. Each member serves at the pleasure and direction of the Manager, Certification. A payment is provided for service on the IWP as stated in the Agreement.

Appeals Committee: The Appeals Committee is responsible for receiving and considering appeals related to the examination process as provided for in the policy relating to Due Process. The Appeals Committee is comprised of the entire CAB acting as a committee of the whole unless the CAB otherwise acts to create a committee of a select number of its members.

Certification Status: Individuals who serve as a member of a committee or panel and who are eligible for certification as a CAP must attain and maintain the CAP credential.

Examination Development

The CAP Program follows certification industry best practices to create and update the CAP exam. Subject matter experts, IAAP members, and practicing administrative professionals are involved throughout the process, which is overseen by highly trained assessment experts and a psychometrician.

Body of Knowledge: The CAP exam is based on the CAP Body of Knowledge, which is developed by practicing professionals, business educators, and conducting a job analysis study. The Body of Knowledge has a select number of domains, each with specific Performance Outcomes (PO), worth a designated percentage of exam content. PO are detailed, measurable competencies based on current best practices across a myriad of industries, which commonly employ administrative professionals. They represent the central and most significant information, skills, and competencies the candidate should know in order to pass the exam.

Security and Confidentiality: All individuals involved with examination development shall follow established security and confidentiality measures as outlined in the Item Writers Guide and/or their signed agreements. Concerns regarding a breach of this policy should be reported to the Manager, Certification or in the case of violation by this person, to the Chair of the CAB. If the concern involves the Chair of the CAB, the concern should be reported to the Vice Chair and Manager, Certification. Concerns regarding a breach shall be investigated in accordance with established procedures.

Job Analysis Study: A job analysis study of the administrative professional profession will be performed no less frequently than every five years. The study findings will serve as the foundation for the examination specifications and when approved become the new Body of Knowledge. The Body of Knowledge specifications will be reviewed by the CAB and any necessary adjustments will be made before giving their approval.

Test Format: All CAP exam questions are written in multiple-choice format. A question consists of a stem (the question asked or incomplete statement) and four possible responses. One response is the only correct answer; the other three responses are incorrect.

The exam assesses three levels of competency:

- **Fact:** A level of testing that emphasizes recognition of facts, terminology, principles, theories, trends, classification, criteria, or structures.
- **Concept:** A level of testing that emphasizes understanding, translation, interpretation, extrapolation, and communication of concepts, theories, and principles.
- **Application:** A level of testing that emphasizes the ability to apply terms and concepts from other sources to a new situation, to apply principles of a discipline to practical situations, and to relate principles studied to current events.

CAP Question Development Process: The following steps are used for development of items used in the exam.

1. The Manager, Certifications and Assessment Systems Psychometrician identify PO which need more questions.
2. A subject-matter expert (SME) is assigned specific POs based on his/her area of expertise.
3. SME writes items using the Item Writers Guide, categorizes it by competency level (fact, concept, application), and provides a peer reviewed reference for the topic.
4. Manager, Certification accepts or rejects the question, or requests a modification of the question based on its quality as defined by the Item Writers Guide.
5. Once a question is accepted, it is sent to a CAP Exam Commission member for review of its applicability to the CAP Body of Knowledge and the administrative professional profession.
6. When the review is completed, the Manager, Certification enters it into FastTest (Item Bank).
7. After it is entered another review is conducted by a CAP Exam Commission member via FastTest for any typos or incorrect entries.

CAP Exam Forms Process: The process to develop the initial exam form is as follows:

1. An exam form is created, from questions in the item bank, using the CAP Exam Blueprint domain percentages for each exam administration window (Spring and Fall) by an Assessment Systems Psychometrician.
2. The form is then reviewed by the CAP Exam Commission and errors corrected, if needed.
3. The finalized form is then approved by the Commission and locked in FastTest for delivery.

Core Resource List: A body of literature aligned with the examination content outline will be identified by the CAP Exam Commission and designated as the Core Resources. The Commission will ensure that the Core Resources list is reviewed in conjunction with the Job Analysis Study (conducted every five years) and revised at that time, if appropriate.

Items written for the CAP examination item bank should be properly referenced to a current item from the CAP Core Resources. The reference source is no older than the oldest reference on the Core Resources.

Exam Development: All examination forms will be assembled in accordance with the examination specifications. All test questions shall undergo a preliminary question analysis prior to release of the test results. Any question that does not meet accepted statistical criteria shall be reviewed by the CAP Exam Commission, which will determine whether the item should be: (a) scored "as is," (b) scored with an alternate key(s), or (c) scored as correct for all responses.

Exam Scoring. The passing standard shall be set using a criterion-referenced methodology. The CAP Exam Commission will approve the passing score.

Whenever examinee volumes permit, equating will be used to maintain the passing standard across different examination forms and to statistically adjust scores, as necessary, to compensate for differences in difficulty across examination forms.

CAP Assessment Process and Recertification

The CAP assessment process includes an eligibility application, a multiple-choice test, and an application for recertification.

Eligibility: Candidates must pay a required exam fee with an application that documents fulfillment of requirements in formal education and or professional (work) experience, as follows:

- 24 months administrative experience with a bachelor's degree; or
- 36 months administrative experience with an associate degree; or
- 48 months administrative experience

All experience submitted must have been earned in the past 10 years. Of that, twelve consecutive months of experience must have been with the same employer in the past 5 years.

If the candidate chooses to use education as a way to meet the experience requirement, the college degree must be from an accredited institution and the candidate must submit a copy of the college degree or transcript. The transcript may be an unofficial copy.

First-time candidates must complete the Qualifying Administrative Experience section of the application to record administrative experience or submit an updated resume. Retake candidates are not required to resubmit the experience documentation if they initially applied for the exam within the past three years.

Exam Application Review: The exam application is available in an online format or as a downloadable PDF with detailed instructions for completion and submittal.

An exam application may be denied for the following reasons:

1. Failure to meet exam eligibility requirements (education and/or experience)
2. Incomplete exam application form
3. Missing payment
4. Missing documentation

The CAP Program will contact the individual if there is a problem with the application and attempt to resolve the issue as part of the review process. An applicant who does not qualify for the exam or whose application is denied, will receive a full refund less a processing fee. If for any reason the application is accepted the fee is non-refundable regardless of further action by the candidate.

There is an appeals process for a denied application. A later section in this Handbook describes the appeals process.

Exam Application Audit: To ensure integrity of the exams and how they are maintained, the CAP Program regularly conducts random audits of exam applications and a percentage of recertification applications to verify the accuracy of the information submitted.

Testing: After being determined eligible and paying the required fee, candidates must schedule and pass a multiple-choice computer-based exam of approximately 300 exam items administered in a single 3 ½ hour time frame. The exam is offered throughout North America and in select international locations twice a year, every Spring and Fall. The exams are administered within a testing period of 11-12 days.

Within 30 days of the exam completion, each candidate will receive via email a Performance Report. The Performance Report will provide the individual with their total exam score and will indicate if the individual has passed or failed the CAP exam. The Performance Report will also include individual scores by content areas. For security reasons, results will not be given over the phone. A permanent record of candidate's Performance Reports are archived through Certifior, the Program's records management software.

Retesting: Candidates retaking the examination after failing to pass on the first or second attempt shall submit an exam fee and a completed application to be eligible to sit for the exam. Documentation of work experience or education is not required. There shall be no opportunities for a third attempt to pass until the passage of one year following the second attempt.

Testing Issues: Issues with the CAP exam testing site, equipment, or monitors must be reported within 24 hours. General questions about the CAP exam and/or the scoring process including a request for recalculation of scoring by a psychometrician as well as an appeal of exam results must be submitted in writing no later than 30 days after receipt of scores. All issues and appeals must be directed to certification@iaap-hq.org using the CAP Certification Appeals Form.

Recertification

Recertification: Certification renewal is required every three (3) years due to the rate of change and the need to remain current. To assure individuals remain current, certified individuals are required to engage in professional development activities that directly relate to the Body of Knowledge. CAP holders are required to earn 36 recertification points within a three-year cycle by attending educational workshops, reviewing professional publications, establishing personal networks, and participating in professional societies.

Recertification dates are either May 31 or November 30. The May date is for the spring designees and November is for fall designees. For instance, if you acquired your CAP in March 2016, your recertification deadline will be May 31, 2019.

Extensions: Individuals who have missed their recertification due date are given a 120-day grace period in which they can submit a late application. No special permission is necessary if applying within the grace period. The grace period is not extra time to accumulate points; it is additional time to submit the information. All points submitted must be earned within the original three-year cycle. Individuals are required to pay the recertification fee, plus a late fee when applying for recertification during the grace period. If the application is approved, recertification will be backdated to the month/year originally due.

Appeal Policy: Individuals who are beyond the 120-day grace period must submit an appeal before applying for recertification. This appeal is only for those who experienced extenuating circumstances which prevented them from earning points or applying for recertification within their three-year cycle. Examples include, but are not limited to, serious personal illness, serious illness of a family member, tragic event, long-term unemployment, or military deployment. If the appeal is accepted, the individual may be given additional time to earn points. More information is in the section on appeals.

Recertification Qualifying Activities: Recertification points can be earned in three categories and must be earned within the three years since initial certification or recertification:

1. Professional Development
2. Industry-Specific Professional Development
3. Leadership

It is not necessary to earn points in every category, but it is mandatory to have at least 20 of the 36 points in the Professional Development category. Points in the categories of Industry-Specific Professional Development and Leadership are optional and limited to 15 points per category.

The CAB shall establish specific activities, required documentation, and points to be awarded in each category and publish this information in the Certification Handbook.

Additional points over the required 36 do not carry over to the next cycle and new activities do not qualify until after the recertification date has passed.

The CAP credential an individual holds is revoked if they fail to comply with the mandatory recertification requirements. To become certified again, a new application and retaking the exam is required.

Retired Status: CAP holders who retire from the profession prior to their recertification due date will have the following options:

1. Maintain active CAP certification by obtaining the required amount of Recertification Qualification Activities. This option requires no notification to the CAP Program. Designees will continue in the regular recertification process, including application, fees, and tracking spreadsheet.
2. Transition to CAP (Ret.)—which is not an active certification but will allow previous CAP holders to use the classification indicating they were CAP certified and are now retired from the workforce, thus are not maintaining the credential. A one-time fee is assessed at the time of application for the CAP (Ret.) classification.

If the certified individual originally earned the Certified Professional Secretary (CPS) rating and then transitioned to CAP, those individuals may keep the CPS rating.

Persons who are granted Retired Status, CAP (Ret.) must be fully retired from serving as an administrative professional or any advanced work in business management. This includes part-time or full-time or as an employee consultant or independent contractor. The individual must remain fully retired and must notify the CAP Program of any change in employment circumstances that would render the individual ineligible for Retired Status and require a reactivation.

Individuals who obtain Retired Status have the following options to reactivate their CAP:

1. If the application for CAP reactivation is within two years of the last date of being a CAP in good standing, the individual may submit a Reactivation Application and an Administrative Reactivation Fee. Such individuals are exempt from meeting the requirement for earning the Recertification Qualifying Activity points required in recertification, but will be required to meet all requirements on subsequent recertification.
2. If more than two years has passed since the last date of being a CAP in good standing the individual must meet eligibility requirements, submit a qualifying application and fees, and achieve a passing examination score.

Individuals who return to the workforce from Retired Status must notify the CAP Program and they will be returned to Active Status. All future recertification will require payment of the recertification fee.

Individuals who return to employment from Retired Status that fail to follow the process to reactivate their CAP may notify the CAP Program of this change in employment status and request removal from CAP status which shall be granted.

Reasonable Accommodations Pursuant to the ADA

Accommodation Requests: Accommodations may be available to individuals who have documented disabilities pursuant to the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act of 1973. The CAP Program provides reasonable testing accommodations to candidates whose documented disabilities or other qualifying medical conditions hinder their ability to take the examination under standard conditions.

Examples of requests for special testing accommodations that may be granted include modification of seating or other physical arrangements in the testing facility, or providing for the examination to be taken in an accessible location, providing for a reasonable extension of testing time, providing a sign language interpreter (to assist with audio or spoken components, if any), reader, or other auxiliary aid. All accommodations must be pre-approved by the CAP Program staff. An Accommodations Request Form is available on the CAP website.

Accommodations are provided to qualified candidates with disabilities to the extent that such accommodation does not fundamentally alter the examination or cause an undue burden to the CAP Program or the test administration site. The cost of excessive accommodation requirements is to be borne by the candidate (i.e., electronic communication equipment, etc.).

Examination Administration

Testing Centers: The CAP examination is administered twice per year with the two testing periods being a range of dates when the testing is available. The CAP exam is computer-based through the CAP Program's test delivery vendor, Assessment Systems. Testing centers are located throughout North America and select international locations.

Scheduling an Appointment: After a candidate's exam application is approved, the individual will receive detailed instructions on how to schedule their exam with Assessment Systems. This information is sent to the approved candidate by email and mail.

Availability of Testing Centers: Although the CAP Program makes every effort possible to ensure testing centers are available, the Program cannot guarantee availability of a center, or guarantee a candidate will receive the testing center of their choice.

Cancellation of Test Under Extraordinary Circumstances: If a candidate is unable to arrive at a designated exam site because of inclement weather, terrorist acts, or a natural disaster, then the candidate has the option of taking the examination at the next administration without being charged an additional fee. If a designated examination site is rendered unusable because of inclement weather, terrorist acts, a natural disaster, then the examination will be rescheduled within a specified period of time.

The decision to cancel a site will be made by the Manager, Certification in consultation with Assessment Systems.

Delay of Exam Date: Candidates may delay their exam to the next available testing period after submittal of the application provided the request is submitted directly to the CAP Program at least 14 days before the testing period begins. A retesting fee shall be required.

Upon two delays to the next testing period, and payment of two retesting fees, the exam fee is forfeited. After a waiting period of six months, a new application must be filed and the exam fee paid to qualify to take the exam. The Qualifying Administrative Experience is not required to be filed as long the new application is within three years of the date of the initial application.

Delay of Exam Date Due to Emergency: If a candidate provides verifiable and documented notice to the CAP Program seven days prior to the end of the testing period due to a documented medical or personal emergency there shall be no retesting fee. The case of an emergency is decided on a case-by-case basis by the Manager, Certification. The individual will be required to reschedule to the next exam period or a retesting fee will be required for later testing periods.

Failure to Take the Exam: Once the application is accepted the fee is non-refundable regardless of further action by the applicant to take the exam or not including but not limited to:

- Failure to show up for a scheduled CAP exam
- Cancellation from the CAP exam without proper notice as described above
- Failure to schedule an appointment with Assessment Systems within the CAP exam testing period

Fees

The CAB shall set all fees and review them annually. All fees shall be published in the Candidate Handbook or on the website or both locations.

Exam Fee: The CAB shall establish fees and associated policies which shall be payable with submittal of the application. In addition to an exam fee for members, the CAB may provide a different fee for non-members and a late fee for submittal after a certain date. Applications submitted without payment will not be processed. Fees are nonrefundable once the application has been processed. All fees and conditions of payment shall be clearly stated in the candidate handbook and on the application.

Retesting Fees: Individuals may delay their exam a maximum of two consecutive times and each requires payment of a retesting fee as determined by the CAB. Candidates who cannot test after their exam has been delayed twice will be canceled and all fees forfeited. Individuals may reapply after six months and are required to pay all applicable fees.

Verification Fee: IAAP will verify a designee's CAP certification to be in good standing to a college/university, including an outline of the assessment topics. Designees are required to complete the Verification of Certification Form and non-members required to pay a fee as established by the CAB and noted on the Form.

Recertification Fee: The non-refundable processing fee for CAP recertification is due when the Application for CAP Recertification is submitted at the end of each certification period. The fee shall be established by the CAB and published in the Candidate Handbook and the application for recertification. There shall be a member and nonmember rate available. In addition, a late fee will be required for applications submitted during the 120-day grace period. Recertification applications submitted without payment will not be processed. Fees are nonrefundable once the application has been processed.

Retired Status Fee: For individuals who obtain the CAP (Ret.) status there will be a one-time administrative transition fee to switch over to this new life-long classification.

Processing Fee: An applicant who does not qualify for the exam or whose application for the exam is denied, will receive a full refund less a processing fee.

Late Fee: A late fee will be charged when the original deadline has passed for CAP Applications and Recertification Applications.

Use of the Certification Title and Initial Designation

Use of Certification Title: Individuals who take and pass the CAP exam may use the title “Certified Administrative Professional” and the designation “CAP” after their name for a period of three years before having to recertify.

Use of the title and designation by individuals who have not been awarded the certification or who have failed to maintain their certification is expressly prohibited.

Trademarked Property: The designation “CAP” and “Certified Administrative Professional” is a trademarked property and its use is subject to approval by the CAP Program.

Grandfathering. All candidates seeking to hold a CAP credential must successfully pass or have previously passed the certification examination to earn the CAP credential. The CAB does not permit the “grandfathering” of another certification, i.e., accept another organization’s certification or alternate pathway, in lieu of meeting the eligibility requirements or for waiving the requirements to take the examination and achieve a passing score on the examination.

Revocation or Other Disciplinary Actions

A certified individual may have his/her certification revoked or other disciplinary action taken for violation of CAP Program policies including:

- Conviction of a felony relating to professional practice of serving as an administrative professional;
- Violation of examination procedures or security;
- A material misstatement on an application for initial certification or recertification or in any of its representations to the CAP Program;
- Misrepresentation or improper use of the credential;
- The certified individual does not pay required fees on a timely basis.

Report of Violation: When a violation of any of the Program policies as described above is made, such report shall be submitted to the Manager, Certification who shall conduct an investigation of the reported violation in cooperation with the person making the report (“Complainant”) and the certified individual with recommendation of further action by the Board. If for any reason the Manager, Certifications has a conflict of interest or the inability or is unwilling to conduct this initial investigation, the Chair of the CAB may assume this responsibility.

If a recommendation of no action is given, this shall be reported to the CAB at its next meeting. If a recommendation of an action is made by the person conducting the initial investigation, then the CAB shall act as a committee of the whole as a Professional Conduct Committee to consider the report and to make a final decision for revocation or other disciplinary action and the certified individual so informed. The Professional Conduct Committee may take an action that is stronger than or lesser than that recommended in the report or may reject the report and recommend no disciplinary action.

Notification Requirements: Within ten (10) days from the date of the CAB decision, the Manager, Certifications shall inform the Complainant, if any, and the certified individual of the Committee’s determination and, as appropriate, the actions to be taken, if any, along with the bases for such action. The notice shall be sent via an efficient and verifiable means. The notice to the certified individual shall also include notice of the Appeal of Committee Decision provisions.

Appeal of Committee Decision: The certified individual subject to a revocation or other action shall have thirty (30) days from the date of receipt of notification of Professional Conduct Committee determination to deliver a request for appeal of the Professional Conduct Committee’s findings. The notice of appeal shall be sent via an efficient and verifiable means.

Failure to timely appeal the Committee’s determination shall be deemed to be final and conclusive acceptance of the Professional Conduct Committee’s determination and closure of the Professional Conduct Committee’s determination of that matter. Thereafter, the Professional Conduct Committee’s conclusions and sanctions shall be imposed, effective immediately.

The certified individual may request and receive an in-person or telephone meeting with the CAB Chair and the Manager, Certification or other such persons involved in the initial investigation. This person may also submit in writing at any time a written statement or documented evidence to the entire Board. The CAB shall consider all new information and make a final decision. The decision of the Board is final and cannot be appealed.

Certification Status during Disciplinary Procedures and Appeal: During the period that disciplinary considerations and/or an appeal of a disciplinary action is pending, the certification status of the Certified individual will be continued based on the individual's standing with the CAP Program, subject to the normal and regular cycle of renewal requirements.

Appeals for CAP Applicants, Candidates, and Recertifying Individuals

Appeal Policy: An appeal may be made by a CAP applicant, candidate or certified individual only regarding the following circumstances:

- the CAP Program's interpretation of candidate eligibility from the time of candidate inquiry or the filing of the initial application through the time of conferring of the credential;
- exam administration procedures including denial of a request for accommodations;
- testing conditions severe enough to cause a major disruption of the examination process;
- exam score including a request for rescoring of exam;
- the CAP Program's interpretation of standards required for recertification or for extenuating circumstances that did not allow the certified individual to earn sufficient points to obtain recertification.

The applicant, candidate or certified individual who wishes to make an appeal (the "Appellant") must submit an appeal in writing to the Manager, Certification within thirty (30) days of receipt of notification of an adverse decision. This is done using the CAP Program Certification Appeal Form and describing the adverse decision and the reason for the appeal. The notice shall be sent via an efficient and verifiable means as described on the Form.

Appeal Process: The Manager, Certification shall initiate an investigation. Upon completion of this investigation, the Manager, Certification will make a determination if the Appeals Committee has considered substantially similar case(s) in the past and their decision in those prior cases will be considered precedent for future cases. Under those circumstances, Manager, Certification will send a decision letter that is consistent with the Committee's earlier decisions.

If the Committee has not considered substantially similar cases and there is no determinative precedent, the request and supporting evidence will be reviewed by the Appeals Committee at their next meeting. Based on its review of the gathered information, including all materials provided by the Appellant, the Committee will take a vote.

Upon an affirmative vote of two-thirds of the Committee, this Committee shall determine whether to grant the appeal, deny the appeal, or other required action. The Committee shall notify the Appellant of their decision by an efficient and verifiable means.

Due Process: An Appellant who disagrees with the finding of the Manager, Certification based on previous cases or the decision of the Appeals Committee is then allowed to seek review of the decision. The Appellant may request and receive an in-person or telephone meeting with the CAB Chair and the Manager, Certification or other such persons involved in the initial investigation. The Appellant may also submit in writing at any time a statement or documented evidence to the entire Board. The CAB shall consider all new information and make a final decision. A two-thirds vote is required to reverse a previous decision. The decision of the Board is final and cannot be appealed.

Records Retention

Record Retention Policy: The CAP Program will retain documents in accordance with its record retention policy set forth below. Electronic retention policies are the same as for hard copy. Electronic files shall be backed up regularly.

Policies relating to document retention specific to revocation or appeal actions requires that once the case is closed, dismissed, or otherwise reaches conclusion, one set of records shall be maintained as part of the program's permanent records and the remainder destroyed.

Communications containing legal advice should be marked "Confidential and Privileged" and clearly identify the authors or recipients as lawyers. Employees or volunteers should not distribute documents containing privileged attorney-client information without specific authorization from the attorney.

Documents should not be retained past the designated times set forth in this policy. In addition, all paper and electronic files should undergo periodic review by staff, at least annually, to ensure compliance with this policy.

Should the CAP Program or IAAP be engaged in litigation or receive a subpoena for documents, the Record Retention Policy may be suspended on advice of legal counsel. The destruction of any documents in such circumstances may be inappropriate.

Document Type	Retention Period
Standing Rules & Board Policies	Permanent
Regular and executive session minutes	Permanent
Regular and executive session agendas	Six years
Board Reports and related documents	Six years
Commission Committee documents	Ten years
Budgets	Three years
Financial Records	Seven years
Legal Claims and Litigation	Permanent
Legal Contracts	Permanent
Legal Contracts—drafts	Discard after final contract is signed
Elections-Nomination and Election Files	Discard after need no longer exists
Legal CAB Correspondence	Permanent
Trademark registrations and copyrights	Permanent

Certification Applications and Certified Individual’s Records

CAP Application	Three years
CAP Exam Performance Report	
Pass	Permanent
Fail	Five years
CAP Recertification	
Revoke	Five years after revoked

Any outgoing official correspondence on behalf of the CAP Program that expresses or explains an official position or policy should be kept permanently, along with related incoming correspondence.

Examination Development: All documents related to the development and maintenance of the examination will be maintained permanently. These documents include, but are not limited to, job analysis studies, cut score (standard setting) reports, documentation of item writing activities, exam forms, and technical reports.

The item/question bank used to develop the CAP exam will be maintained permanently by the CAP Program or its designated vendor.

Assessment Results: Test scores for all candidates and related documents to determine test cut-scores and psychometrics shall be maintained by the CAP Program or its designated vendor in a secured environment for five (5) years.

Quality Improvement

The CAP Program is committed to conducting periodic reviews of standing rules, policies and other program and candidate materials to facilitate the ongoing quality and maintenance of the CAP Program. Accordingly, an audit of compliance with these policies and procedures and recommendations for improvements in the administration of the CAP Program may be requested by the CAB at any time.

The published list of Certified Administrative Professionals will be updated following the completion of each exam administration. A database of all CAP applicants and certified individuals will be maintained and immediately available to any CAP Program or IAAP staff member to facilitate an immediate response for inquiring individuals. Published information may include name, city, state/province, country, and credential status. An audit of this list for accuracy and completeness may be requested by the CAB at any time.

Vendor Contracts: The CAP Program will annually review any agreements with consultants and/or other vendors to ensure that those agreements continue to meet the needs of the certification program. Additionally, security clauses will be included in contracts dealing with confidential information. An audit of all agreements with consultants and vendors including an accurate inventory of all agreements may be requested by the CAB at any time.

Security: Certification program staff will annually review the certification program security practices to ensure compliance.

Finance

Adherence to IAAP Fiscal Policies: The CAP Program shall follow IAAP policies for fiscal management, but shall retain the right to develop policies and procedures different when determined it is in the best interest of the CAP Program that different fiscal policies and procedures be developed. When such variance is deemed by the CAP Program as desirable to maintain the quality and integrity of the certification process, a stated rationale shall be made public by the CAB.

Budget: Working with the CAB, the CAP Program staff shall prepare the certification budget as outlined by IAAP budget requirements. The CAB shall review and approve the certification budget for submittal to IAAP.

Fundraising: The CAP Program shall not engage in fundraising or activities outside the scope of certification and recertification activities.

Contracts: The CAP Program shall use the RFP process to contract services for the job analysis study; exam development, maintenance, and administration; and other related services. The CAB shall be fully informed of the terms of such contracts prior to signing by staff. Only the Manager, Certification may sign contracts on behalf of the CAP Program or in case of a vacancy in this staff position, only the IAAP chief staff executive may sign such contracts. CAP Program contracts shall coincide with the contract language and format of IAAP contracts.

Financial Statements: Financial statements shall be distributed to the CAB at the beginning of each fiscal year, at the mid-point of the fiscal year including year to date expenditures and projected expenditures for the remainder of the year, and as part of the budgeting process for the next fiscal year. Such statements shall be distributed prior to any CAB meeting when the statements are an item on the agenda. Any CAB member may request the presentation of financial statements be placed on any meeting agenda at any time.

Fiscal Year: The CAP Program fiscal year shall coincide with the fiscal year of the IAAP.