



IIHR Complaints and Disciplinary Policy

A. COMPLAINTS

1. Complaints must be submitted in writing by an individual or entity. Inquiries or submissions other than complaints may be reviewed and handled by IIHR at its discretion.
2. The complaint must be submitted on IIHR's Complaint and Disciplinary Form and the specific grounds for sanctions as referenced below and that is relevant to the complaint must be cited.
3. The grounds for sanctions of complaint are as follows:
 - Violation of established IIHR certification program policies, rules, and requirements;
 - Fraud or misrepresentation in the application for, or maintenance of, certification;
 - An irregular event in connection with a HR Certification examination, including (but not limited to) copying examination materials, causing a disruption in the testing area, and failure to abide by reasonable test administration rules;
 - Taking the exam for any purpose other than that of becoming credentialed in the area referenced in the title of the exam;
 - Disclosing, publishing, reproducing, summarizing, paraphrasing, or transmitting any portion of the exam in any form or by any means, verbal, written, electronic or mechanical, without the prior express written permission of IIHR;
 - Unauthorized possession or misuse of IIHR credentials, examinations, and other intellectual property;
 - Misrepresentation of credential status;
 - Failure to provide requested information in a timely manner;
 - Conviction of a felony under state law in a matter related to the practice of, or qualifications for, professional activity.
4. IIHR will not review or further pursue any complaints which:
 - a. Contain unreliable or insufficient information;
 - b. Are patently frivolous or inconsequential;
 - c. Allege general unethical or unprofessional behavior by a certificant;
 - d. Do not expressly reference specific grounds for sanctions;
 - e. In IIHR's sole reasonable discretion may choose not to review or further pursue a complaint based on the date of the violation; or
 - f. In IIHR's sole reasonable discretion, are more appropriately addressed by an administrative, regulatory, or law-making entity.
5. Upon receipt and preliminary review of a submission involving an IIHR certification program or the grounds for sanction, the Director, may conclude, in his/her sole discretion that the submission does not constitute an actionable complaint as described above. If not an actionable complaint, the submission is disposed of by notice from the



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Director to its submitter, if the submitter is identified. If the Director determines that the submission is a valid and actionable complaint, the Director will contact the accused for any additional information that may be necessary. The individual will have 7 days to submit any and all applicable documentation. This documentation will be investigated for further action to be taken. If no applicable documentation is submitted within 7 days, the Director may proceed with making a decision.

6. If a submission is deemed by the Director to be a valid and actionable complaint, the Director shall see that written notice is provided to the certificant whose conduct has been called into question. The certificant whose conduct is at issue shall also be given the opportunity to respond to the complaint. The Director also shall ensure that the individual submitting the complaint receives notice that the complaint is being reviewed by IIHR. The Director will determine if the submission is worthy of an investigation, and if necessary, a phone interview will be scheduled. Upon completion of the interview, the Director will decide if the submission will move forward for investigation.
7. The Director shall make the decisions described above and provide the notices required hereunder within ten (10) days of receipt of the complaint.

B. REVIEW OF COMPLAINT

1. For each submission involving an alleged violation of the grounds for sanctions that the Director concludes is a valid and actionable complaint and authorizes an investigation into its specific facts or circumstances to whatever extent is necessary in order to clarify, expand, or corroborate the information provided by the submitter.
2. Both the individual submitting the complaint and the certificant who is the subject of the investigation (or his or her employer) may be contacted for additional information with respect to the complaint. The Director may at its discretion contact such other individuals who may have knowledge of the facts and circumstances surrounding the complaint.
3. All investigations and deliberations of the Director are conducted in confidence, with all written communications sealed and marked "Personal and Confidential," and they are conducted objectively, without any indication of prejudice. An investigation may be directed toward any aspect of a complaint which is relevant or potentially relevant.
4. The Director shall undertake all reasonable efforts to ensure that the review process set forth in this section shall be completed within twenty (20) days of the determination to investigate.

C. DETERMINATION OF VIOLATION

Upon completion of an investigation, the Director may make a determination that there has been a demonstrable and serious violation based on the grounds for sanction. The determination of the disciplinary decision is prepared under the Director's supervision along with the record of the investigation.



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1. If the Director determines that a violation has not occurred, the complaint is dismissed with notice to the certificant and the individual or entity who submitted the complaint. The complaint is included in an annual summary Director report.
2. If the Director determines that a violation has occurred, he will decide on an appropriate sanction.
3. This determination and the imposition of a sanction are promulgated by written notice to the certificant and to the individual submitting the complaint, if the submitter agrees in advance and in writing to maintain in confidence whatever portion of the information is not made public by the Director.
4. In certain circumstances, the Director may determine that the certificant who has committed an actionable sanction, should be offered an opportunity to submit a written assurance that the conduct in question has been terminated and will not recur. The decision of the Director to make such a determination is within their discretionary power. If such an offer is extended, the certificant at issue must submit the required written assurance within seven days of receipt of the offer, and the assurance must be submitted in terms that are acceptable to the Director. If the Director accepts the assurance, notice is given to the certificant and to the submitter of the complaint, if the submitter agrees in advance and in writing to maintain the information in confidence.

D. SANCTIONS

1. Any of the following sanctions may be imposed by the Director upon a certificant whom the Director has determined to have violated the grounds for sanctions, although the disciplinary decision applied must reasonably relate to the nature and severity of the violation, focusing on reformation of the conduct of the member and deterrence of similar conduct by others:
 - a. written reprimand to the certificant;
 - b. suspension of the certificant for a designated period; or
 - c. termination of the certificant's certification from IIHR.

The IIHR database and certificant's file will be promptly updated to reflect any certification suspension or termination.

2. Reprimand in the form of a written notice from the Director normally is sent to a certificant who has received his or her first substantiated complaint. Suspension normally is imposed on a certificant who has received two substantiated complaints. Termination normally is imposed on a certificant who has received two substantiated complaints within a two-year period, or three or more substantiated complaints. The Director may at its discretion, however, impose any of the sanctions, if warranted, in specific cases.
3. Certificants who have been terminated shall have their certification revoked and may not be considered for IIHR certification in the future. If certification is



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revoked, any and all certificates or other materials requested by IIHR must be returned promptly to IIHR.

E. APPEAL

1. Within ten (10) days from receipt of notice of a determination by the Director that an individual committed an action resulting in grounds for sanctions, the affected certificant may submit to IIHR in writing a request for an appeal.

Upon receipt of a request for appeal, the Director will review whether the determination was inappropriate because of:

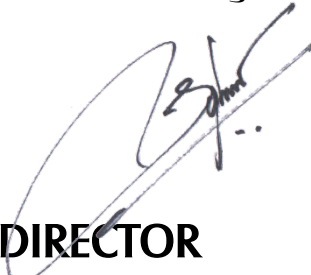
- a. material errors of fact, or
- b. IIHR to conform to published criteria, policies, or procedures.

Only facts and conditions up to Director's determination as represented by facts known to IIHR are considered during an appeal. The appeal shall not include a hearing or any similar trial-type proceeding. Except as otherwise set forth herein, legal counsel is not expected to participate in the appeal process, unless requested by the appellant and approved by the Director.

2. The Director conducts and completes the appeal within twenty (20) days after receipt of the request for an appeal. Written appellate submissions and any reply submissions may be made by authorized representatives of the appellant. Submissions are made according to whatever schedule is reasonably established by the Director.

F. RESIGNATION

If a certificant who is the subject of a complaint voluntarily surrenders his or her IIHR certification(s) at any time during the pendency of a complaint under these Procedures, the complaint will be dismissed without any further action by the Director. If this occurs, the information will be retained in IIHR's permanent file for future reference. However, the Director may authorize the HR & Marketing Executive (Appeals & Complaints) to communicate the fact and date of resignation, and the fact and general nature of the complaint, which was pending at the time of the resignation. Similarly, in the event of such resignation, the person or entity who submitted the complaint are notified of the fact and date of resignation and that Director has dismissed the complaint as a result.



DIRECTOR