

I. CMP Disciplinary Policy & Procedures

A. Objectives

The fundamental objectives of these CMP Disciplinary Policy and Procedures (hereafter also collectively referred to as “Rules”) are to protect the public against unprofessional and unethical conduct by Certified Meeting Professionals (“Certificants”). This objective is accomplished by maintaining and administering these Rules.

B. Grounds for Disciplinary Action

A Certificant may have his/her certification revoked or other disciplinary action taken for violation of the CMP Standards of Conduct or for any of the following:

Conviction of (or a plea of “no contest” to) a crime, a finding of liability by a civil court, or an adverse finding or action by a government agency or licensing authority relating to professional practice in the field of meetings management;

- Breach of CMP examination procedures and security or activity that compromises the integrity of the CMP exam process;
- A material misstatement on an application for initial certification or renewal application or in any of his/her representations to the CMP Board, or other information related to professional practice, whether intentional or unintentional;
- Misrepresentation or improper use of the CMP credential;
- Failure to pay program fees on a timely basis;
- The use of false or deliberately misleading advertisements, testimonials, or other instruments of misinformation related to the practice of one's profession;
- Any act of dishonesty associated with one's profession, regardless of whether it results in a criminal conviction or civil court finding;
- Any other act that brings discredit on the CMP certification or on the meetings management industry.

In the course of applying for certification or renewal, Certificants are to be made aware of these Standards of Conduct and the CMP Disciplinary Policy and Procedure by signing off on an acknowledge of receipt. However, failure of a Certificant to acknowledge receipt of the foregoing material shall not preclude disciplinary action against such person. To the extent feasible, the Standards of Conduct and Disciplinary Policy and Procedures (as amended from time to time) shall be posted on the CIC website, which shall be deemed sufficient notice to Certificants.

C. Resolution of Complaints.

There shall be a “Disciplinary Subcommittee”, as defined below, which shall be empowered to investigate, deliberate, and bring to resolution, including taking appropriate disciplinary actions, according to these Rules, with respect to all Complaints against Certificants. The Disciplinary Subcommittee is at all times subject to the oversight and review of the CIC Board.

Composition of the Disciplinary Committee: The Disciplinary Subcommittee shall be a subcommittee of the CMP Board. The Disciplinary Subcommittee shall consist of an odd number of persons whenever possible and no less than three nor more than five total voting persons as follows: the Chair of the CMP Board (who shall also serve as Chair of the Disciplinary Committee), the immediate past chair of the CMP board (but only if such person is still a member of the CMP Board), and enough additional persons who are current members of the CMP Board to bring the total voting Disciplinary Subcommittee membership to no more than five persons. The CMP Director shall also be an ex officio nonvoting member of the Disciplinary Committee. The Disciplinary Subcommittee term shall be two (2) years, subject to reelection for unlimited successive terms. In the event of multiple Complaints pending at the

same time, the Chair of the CMP Board may create more than one Disciplinary Subcommittee, with the CMP Board Chair serving as Chair of each such subcommittee and designating additional CMP Board members to serve on each such committee.

Activities: In addition to its investigatory duties, the Disciplinary Subcommittee and/or CMP Board shall:

1. On an annual basis or as requested by the board, review these Rules and, as deemed necessary, propose recommendations for improving these Rules for adoption by the CMP Board, but subject to ratification by the CIC Board.
2. Deliver a confidential summary report to the full CMP Board and the CIC Board identifying the Professional Conduct activities during the year, including a report of any sanctions and summary of other actions as provided in these Rules and Procedures.

Time periods for completing work: The time periods set forth in these Policies and Procedures are intended to provide guidance to the Disciplinary Committee and the CMP Board. A time period imposed herein on any Certificant who is the subject of a Complaint is binding, and may be extended only at the Disciplinary Subcommittee Chair's sole discretion depending upon the circumstances of each proceeding. Additionally, the failure of the Disciplinary Subcommittee or the CIC Board to meet any time limit imposed on them hereunder shall not be deemed to be an error sufficient to overturn any disciplinary decision.

How a Complaint may be filed

- a) **Who may file a Complaint.** A Complaint against a Certificant must be submitted in writing by any party when a Certificant appears to have violated the CIC Standards of Conduct or any of the Grounds for Disciplinary Action outlined in Section I.B. above. The CMP Board Chair or the CMP Director may also initiate a complaint on his/her own initiative based on any credible evidence. If the CMP Board Chair initiates a complaint, the Chair shall not serve as Chair as the Disciplinary Subcommittee and shall instead appoint another CMP Board member to serve as the Subcommittee Chair.
- b) **Certificant Status.** A Certificant who is certified at the time of the alleged offense or who is seeking certification at the time of the alleged offense shall be subject to these Rules and Procedures irrespective of whether the Certificant's certification status has thereafter expired or been terminated or whether the Certificant has resigned.
- c) **What must be included in a Complaint.** All Complaints must be submitted in writing to the Disciplinary Committee Chair, in care of the CMP Director, in a form that complies with the CMP Board requirements. The Complaint must:
 - (1) specify the name, address and telephone number of the Complainant;
 - (2) include the name, address and telephone number of the Certificant;
 - (3) set forth the specific sections of these Rules alleged to have been violated;
 - (4) provide an adequate description of the facts supporting the Complaint including documentation relating to the allegations;
 - (5) detail previous steps, if any, that have been taken with respect to the alleged unethical or unprofessional conduct and the results of such steps taken.
 - (6) include the Complainant's approval for the Committee to disclose all information to the Certificant and those members evaluating the Complaint; and
 - (7) be signed by the Complainant.

d) Anonymous Complaint. No action will be taken solely on the basis of an Anonymous Complaint, but the Chair of the CMP Board or any CMP Board member, CIC board member, or CIC staff member, in consultation with the CMP Director and legal counsel, may initiate a Complaint based on what is believed to be credible information that has been received in one or more Anonymous Complaints.

How Complaints are handled

The primary screening of initial Complaints shall be by the CMP Director, with assistance as needed by legal counsel.

Incomplete Complaints. If the CMP Director determines that the Complaint does not sufficiently address what must be included in a Complaint, then the Complaint will be returned to the accusing party with instructions to rectify the incomplete items. If the Complaint is not resubmitted in properly complete form by the accusing party, the Complaint shall be deemed to be abandoned and no further action will be necessary. Once a properly completed Complaint is received by the CMP Director, it will be reviewed and forwarded to the Disciplinary Committee Chair with a recommendation by the CMP Director as to whether the Complaint is without merit or with merit.

Complaints without merit. If the CMP Director (assisted by legal counsel if necessary) determines that the Complaint does not have merit, meaning the facts presented are inconsequential, unreliable, present irrelevant information, or otherwise do not establish that a possible violation of any of the disciplinary grounds in Section II.B. above may have occurred, the Complaint will be dismissed and the Complainant so notified. The CMP Board Chair will first be consulted regarding a dismissal decision and shall have the right to overrule such decision.

Complaints Involving Court or Government Final Action. If the complaint involves misconduct that has resulted in conviction of a crime by a criminal court, a finding of liability by a civil court, or an adverse finding or action by a government agency or licensing authority, the CMP Director shall forward the complaint directly to the Disciplinary Subcommittee Chair with a recommendation for appropriate discipline. The Certificant shall be given ten days written notice to request an oral hearing before the Disciplinary Subcommittee and provide any written statement regarding the appropriate punishment only. The Disciplinary Subcommittee shall decide the appropriate discipline by a majority vote of a quorum present in person or by teleconference at a duly called meeting.

Complaints with merit. If the CMP Director (assisted by legal counsel as needed) determines that the Complaint has merit (i.e., that the alleged facts, if true, would establish by a preponderance (51% or more) of credible evidence that there has been a violation of any of the disciplinary grounds in Section II.B. above), the complaint will be sent to the Disciplinary Subcommittee for a formal investigation. Depending upon the circumstances, the statement of the complainant alone may be sufficient to support the allegation. The fact that a member may be found not guilty by a criminal court does not preclude investigating the Certificant's actions and eventually imposing discipline, since these disciplinary policies only require a lesser preponderance of evidence standard.

Procedure for Formal Investigation:

Method of Conducting Investigation. An investigation may be conducted by collecting information, including documentation, conducting phone inquiries and through any other appropriate or similar means of inquiry.

- (1) Certificant Records. Certificant records may be reviewed and consideration may be given to any elements recorded in the Certificant's CMP record.
- (2) Experts. In rare instances with the prior written consent of the CIC Board Chair, experts may be retained and consulted with as necessary to assist in investigations. The expert may be an

individual certified by the CMP Board, or a member of an acknowledged peer group established by the CMP Board or another responsible organization. Any expert retained and consulted with must sign an appropriate agreement setting forth the expert's agreement to maintain all information as confidential.

- (3) Additional Information. Additional information may be sought through correspondence or otherwise, including supplementary information from the Complainant in writing or interviews, or from any other party, when necessary, in order to completely evaluate the substance of the allegations. In the event that the additional information is deemed necessary but the Complainant refuses to provide such additional information or fails to provide it in a timely manner, the case may proceed based on the information on hand.
- (4) Additional violations. If, during the course of its investigation, the Disciplinary Committee, or CMP Board determines that there may be additional violations of Section II.B. above, , then such violations may be investigated as part of the same formal investigation and appropriate findings regarding such additional violations may be reached in accordance with these Rules and Procedures.

Subcommittee Deliberation. The Disciplinary Subcommittee shall, in consultation with the CMP Director and legal counsel, review all of the information obtained during the investigation. If appropriate, the case may be dismissed at any time. Assuming the Subcommittee determines upon this review that the Complaint is supported by credible evidence, a formal hearing shall be scheduled. The notice of the hearing to the Certificant whose conduct is in question shall include:

- (1) a copy of the Complaint, including the specific sections of Section II.B. above that are alleged to have been violated by the Certificant;
- (2) the name of the Complainant, which may be included or withheld based on the advice of legal counsel as necessary to preserve due process and confidentiality;
- (3) a copy of these Rules and Procedures;
- (4) notice that the Certificant has the right to provide a written response in his/her defense and supporting documentation within thirty (30) days of receiving the notice, along with a right to an oral hearing via telephone;
- (5) identification of the members of the Disciplinary Committee. The Certificant may submit a written petition within 7 days to the Disciplinary Committee Chair identifying any conflict of interest concerns as to Disciplinary Committee members, detailing such concerns, and, as appropriate, asking for replacement of any such member. The Disciplinary Committee Chair shall have final authority as to the disposition of such requests, and may appoint other CMP Board members in good standing as replacement members of the Disciplinary Committee. Any CMP Board members deemed to have a conflict of interest shall refrain from all considerations and votes on the matter.

As noted above, the Certificant may petition the Disciplinary Subcommittee Chair for the opportunity to present an oral statement via conference call to the Disciplinary Subcommittee. If granted, only the Certificant will be allowed to speak on his/her behalf, and the Certificant may not have an attorney present in person or by telephone. The conduct of the proceeding shall be at the sole discretion of the Disciplinary Subcommittee Chair and the Subcommittee shall in no circumstance conduct a trial type hearing, and the rules of evidence shall not apply. At the discretion of the Chair, the Certificant may be allowed to call reasonably available witnesses via telephone provided that the Subcommittee was informed of the names and contact information of the witnesses at the time the Certificant requested an oral hearing.

Upon conclusion of the hearing, the Disciplinary Subcommittee shall be instructed as to the full range of actions it may take. A vote shall be taken as both the issue of whether the Complaint is supported by the evidence and the issue of the appropriate punishment, with both determined by a majority of a quorum of votes cast. In the event that a majority support is not ascertained, the Committee may consider and hold subsequent votes as to the disposition of the matter, including on other disciplinary actions as allowed by the section of these Rules.

Notification of Disciplinary Committee Determination. As soon as feasible after the date of its decision, the Chair of the Disciplinary Subcommittee shall inform the Certificant of the Subcommittee's determination and the actions to be taken, if any, along with the bases for such actions, including a citation to the portions of Section II.B. above that were violated by the Certificant. The notice shall be sent via an efficient and verifiable means, which may include electronic mail. If applicable, the notice to the Certificant shall also include notice of the Appeals provisions of these Rules, as well as the relevant confidentiality, public notice of sanction, and record-keeping rules. At the discretion of the Disciplinary Subcommittee Chair, the complainant may also be informed of the general decision reached, but shall have no right to appeal the decision.

Disciplinary Actions

Types of Disciplinary Actions. The following disciplinary actions may be taken as deemed appropriate by the Disciplinary Committee, or, in the case of an Appeal, the CMP Board:

- 1) Notify all parties, in writing, that no action is warranted against the Certificant;
- 2) Require that the Certificant cease and desist the alleged conduct;
- 3) Request that the Certificant cease the improper conduct and accept supervision or seek appropriate assistance;
- 4) Reprimand the Certificant in writing if there has been a violation of any of the grounds in Section II.B. above but no harm to another person, the public or the profession has occurred;
- 5) Censure the Certificant if there has been a violation of the grounds in Section II.B. above but the harm done is not sufficient to warrant more serious action;
- 6) Place the Certificant under probation and monitor the Certificant's conduct, with a probationary violation allowing any other sanction stated herein;
- 7) Refer the matter to the proper authorities for criminal prosecution or other action, if appropriate;
- 8) Refer the matter to a national, regional, state or local professional association and/or a licensing or certifying authority;
- 9) Suspend the Certificant's CMP status for an appropriate period of time, during which time the Certificant may not use the CMP title;
- 10) Revoke the Certificant's CMP status permanently.
- 11) Multiple Sanctions. The Disciplinary Committee (or, in the case of an Appeal, the CMP Board) may apply more than one sanction as deemed appropriate.

Appeals Provisions

- a) Appeal of the Disciplinary Committee's Decision. Sanctions 1 through 8 above are final and shall not be appealable. Sanctions 9 and 10 (i.e., suspension or revocation of CMP status) are appealable to the CIC Board of Directors. The Certificant shall have ten (10) days from the date of Notification of Disciplinary Committee Determination to deliver a written appeal to the Disciplinary Subcommittee's findings. Failure to timely appeal the Disciplinary Subcommittee's determination shall be deemed to be final and conclusive acceptance of the Disciplinary Subcommittee's determination and closure of the Disciplinary Subcommittee's determination of that matter. Thereafter, the Disciplinary Subcommittee's conclusions and sanctions shall be imposed, effective immediately.
- b) Process for Appealing the Disciplinary Committee's Decision. The Certificant's appeal of the Disciplinary Committee's decision must be in writing only and shall be sent to the Chair of the CIC Board of Directors in care of the CMP Director via an efficient and verifiable means. The Certificant shall have no right to an oral hearing. The Certificant shall state in writing the specific grounds why the appeal should be considered or granted. The Certificant's appeal may not present, include, or rely on facts that were not previously presented in the proceedings. Appeals are limited to:
 - (1) The fact that the Disciplinary Subcommittee's decision was not supported by or was contradicted by

the evidence presented;

- (2) The fact that the Disciplinary Committee did not follow its own Rules and Procedures; and/or
- (3) That the disciplinary action is not appropriate to the gravity of the situation.

- c) 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 Certificant will be continued based on the individual's standing with the CMP certification program, subject to the normal and regular cycle of renewal requirements.
- d) Materials provided to the CIC Board to consider an Appeal. In the event the Certificant timely and properly appeals the Disciplinary Committee's decision, the Chair of the Disciplinary Subcommittee shall provide the Chair of the CIC Board with all information and materials collected during the Disciplinary Subcommittee's investigation and deliberations. The CMP Director shall also be provided a copy of the Certificant's written appeal of the Disciplinary Committee's decision and a copy of these Rules and Procedures.
- e) Consideration by the CIC Board. The CIC Board shall consider the written appeal at a duly called meeting in person or by telephone. A vote shall be taken as to the disposition of the Appeal, determined by a majority vote of a quorum. In the event that a majority support is not ascertained, the CIC Board may consider and hold subsequent votes as to the disposition of the Appeal, including on other disciplinary actions as allowed by these Rules.
- f) Options available to the CIC Board to resolve an Appeal. For an appeal based on the assertion that the Disciplinary Subcommittee's decision was not supported by or was contradicted by the evidence presented, the CIC Board may:
 - (1) Affirm the Disciplinary Committee's decision;
 - (2) Determine that the findings of facts by the Disciplinary Subcommittee were clearly erroneous, and make an appropriate determination as to the disposition of the complaint;
 - (3) Determine that the disciplinary sanctions assessed by the Disciplinary Subcommittee were grossly disproportionate to the facts surrounding the violation, and make an appropriate determination as to the disposition of the complaint and/or disciplinary action.

For an appeal based on procedural error, the CMP Board may:

- (4) Affirm that the Disciplinary Subcommittee followed proper procedures or that any procedural errors were harmless, and affirm the Disciplinary Subcommittee's decision; or
- (5) Determine that the procedures used by the Disciplinary Subcommittee were in serious and substantial violation of these Rules and either make an appropriate final determination as to the disposition of the complaint, or refer the decision back to the Disciplinary Subcommittee to reconsider the matter utilizing proper procedures.

Notification of Appeals determination. The Certificant shall be notified in writing of the outcome of the CIC Board's determination in regard to the Appeal as soon as feasible after the decision via an efficient and verifiable means, which may include electronic mail. There shall be no further right to appeal.

Confidentiality and Record-Keeping

a) Confidentiality

- 1) Disclosure of Complainant and Certificant names. The names and addresses of Certificant, and Complainant if necessary, shall be disclosed to the CMP Director, CMP program legal counsel,

Disciplinary Subcommittee Chair and members, the CIC board, and any other persons with a bona fide need to know.

- 2) Confidentiality Attestation. All individuals enlisted by, or on behalf of, the Disciplinary Subcommittee and/or CIC Board to investigate, consider or deliberate as part of these processes shall agree to maintain all information as confidential, and to promptly return all information received during the course of an investigation to the CIC offices in care of the CMP Director.
- 3) Handling of information related to the Complaint and proceedings. All information, other than that which is publicly available, related to and disclosed during the proceedings shall be maintained on a confidential basis, except that the CMP Director, Disciplinary Subcommittee and/or the CMP Board shall be permitted to:
 - disclose such information when compelled by a validly issued subpoena or court order, or when otherwise required by law or pursuant to permission granted by the individual in question;
 - share relevant information with parties essential to the review and investigation of the alleged unethical or unprofessional conduct;
 - utilize such information in anonymous and aggregate form for purposes deemed appropriate by the CMP Board and/or Disciplinary Committee, including, but not limited to, public reports, Certificant education, and research purposes.

b) Record Keeping Handling, storage, maintenance and destruction of records. The CMP Director and CIC staff shall establish reasonable procedures to ensure that confidentiality is maintained with respect to the handling, storage, maintenance and destruction of records.

c) Notwithstanding anything in these rules regarding confidentiality, the CIC Board and staff shall have the discretion to make publicly available any or all information pertaining to any final findings of wrongdoing by and any imposed disciplinary sanction against any CMP certificant.