

Complaint Policy

All formal complaints are reviewed by CNTA staff. To be considered a formal complaint, a complaint must be submitted in writing using the CNTA complaint form. Once received, complaints are reviewed by the appropriate CNTA staff and divided into two categories: administrative practices (i.e., any expression of dissatisfaction or concern as it relates to CNTA products, services, decisions, performance, behavior, certification activities, and conduct of employees) and complaints against certified personnel. Complaints deemed by review to be against CNTA certified persons are subject to resolution by the following complaint procedure. All formal complaints against certified personnel must be in writing containing all the information listed on the CNTA complaint form. Use the CNTA complaint form or contact CNTA Staff or a Director.

The Staff person most knowledgeable about the area of the formal complaint will lead efforts to:

- Record the complaint in the iMIS database.
- Contact the complainant stating receipt of the complaint within 30 days of the complaint.
- Contact the certified personnel named in the complaint within 30 days of the complaint.
- Evaluate complaint validity (i.e., realistic, reasonable, feasible, and consistent with the CNTA complaint policy).
- Ask for additional information when needed.
- An investigation may be directed toward any aspect of a complaint which is relevant or potentially relevant. Formal hearings are not held and the parties are not expected to be represented by counsel, although the CNTA Advisory Board may consult their own counsel to assure the impartiality in the resolution of the complaint.
- Once a complaint is deemed valid, coordinate CNTA efforts to identify and apply corrective/preventative actions if deemed necessary
- Communicate findings and corrective actions to certified personnel within 30 days of decision (Certified personnel may contact CNTA during the 30-day review process to check on the status of the complaint/investigation).
- Respond to the Complainant in writing within 30 days of resolution of the complaint (Complainants may contact CNTA during the 30-day review process to check on the status of the complaint/investigation).

All investigations and deliberations of the complaint process are conducted in confidence, with all written communications are treated as "Confidential," and they are conducted objectively, without any indication of prejudgment.

If deemed administrative in nature, the complaint is resolved by the appropriate CNTA staff member in collaboration with the executive director.

If the Staff person is the subject of the complaint, other CNTA Staff or Management will lead the complaint management effort.

At any time, a Complainant can request another Staff person to lead the complaint management by sending a written request to the CNTA.

CNTA and related staff are also expected to maintain impartiality in the event that an applicant or certificant makes an appeal or files a complaint (administrative or against personnel). All CNTA staff, and

anyone else involved in the certification process are expressly forbidden from taking retributive action against anyone who makes an appeal or complaint, regardless of how the appeal is resolved. If an employee or anyone else involved in the certification process has reason to believe another individual involved in the certification process has had their impartiality compromised, they are required to report the issue to their supervisor, the board chair, the CNTA Executive Director, or CNTA CAO as appropriate, so that the potential compromise of impartiality can be assessed and addressed.

Policies are updated and reviewed annually to ensure conflicts have not corrupted CNTA's vision or mission.

Final authority on resolving a complaint resides with the CEO of CNTA.