



# **CAE Commission**

# **Standing Rules and Policies**



**CAE Commission Standing Rules and Policies  
as of February 2009**

<b>Standing Rule #1</b>	<b>Purpose, Composition and Meetings</b>
<b>Standing Rule #2</b>	<b>Commission Responsibilities</b>
<b>Standing Rule #3</b>	<b>Committees and Task Forces</b>
<b>Policy #1</b>	<b>Confidentiality &amp; Conflict of Interest</b>
<b>Policy #2</b>	<b>Commission Meetings</b>
<b>Policy #3</b>	<b>Public Disclosure</b>
<b>Policy #4</b>	<b>CAE Committees</b>
<b>Policy #5</b>	<b>Examination Development</b>
<b>Policy #6</b>	<b>CAE Assessment System</b>
<b>Policy #7</b>	<b>Self Study Program Eligibility for CAE credits</b>
<b>Policy #8</b>	<b>Special Accommodations</b>
<b>Policy #9</b>	<b>Test Administration</b>
<b>Policy #10</b>	<b>Special Testing Arrangements</b>
<b>Policy #11</b>	<b>Proctor Criteria</b>
<b>Policy #12</b>	<b>Fees</b>
<b>Policy #13</b>	<b>Use of the Certification Title and Initial Designation</b>
<b>Policy #14</b>	<b>Suspension or Revocation of CAE Designation</b>
<b>Policy #15</b>	<b>Due Process Appeals</b>
<b>Policy #16</b>	<b>Record Retention</b>
<b>Appendix A</b>	<b>Fee Schedule</b>

**Standing Rule #1**      **Purpose, Composition and Meetings**  
**Revised:**            **May 2007**  
                              **February 2009**

**Purpose and Name:** The CAE Commission is an independent certifying body of the American Society of Association Executives. The CAE Commission awards the Certified Association Executive (CAE) credential and is responsible for setting policy and standards related to the CAE program.

**Composition:** The Commission is composed of up to twelve voting members, eleven of whom have earned and maintained the CAE designation and represent the diversity of the association industry. At least one member shall be a non-CAE consumer/public member selected according to criteria outlined in the standards of the National Commission for Certifying Agencies. The public member shall be an individual who represents the direct and indirect users of CAE skills and services; who has served or is serving in a volunteer capacity; and who is interested in ethical, professional behavior on the part of association executives. Preference will be given to candidates with experience in public advocacy. The public member shall not be/have:

- A current or previous association executive.
- An employer or employee of individuals in association management other than individuals serving in a volunteer capacity for those organizations defined as "qualifying organizations" in the CAE policies.
- An employee of an individual certified as a CAE, or an employee of an employer of individuals in association management or associations.
- An employee of any certification organization.
- Currently deriving more than 5% of his or her total income from the profession of association management or from business with associations.
- Derived in any of the five years preceding his or her appointment as a public member more than 5% of his or her total income from association management or from business with associations.
- Worked for or provided contract services to the CAE Commission or ASAE at any time during the five years preceding his or her appointment as a public member.

**Election:** Commission members are elected by the Commission Officers based on nominations brought forth. Nominees must fully comply with Commission member requirements as established by the Commission. The Chairs of the CAE Examination Committee and the CAE Item-Writing Committee serve as ex officio, non-voting members of the Commission.

**Officers:** The Chair, Chair-Elect and Immediate Past Chair shall serve as the officers of the Commission. The officers shall set meeting agendas, and between meetings of the Commission shall dispose of day-to-day matters involving interpretation of policies previously approved by the Commission.

**Election of Officers:** The CAE Commission Chair-Elect is elected by the CAE Commission through majority vote at the spring meeting. In case of a tie vote, the Chair's vote will be counted.

**Term:** Members of the CAE Commission serve for a two-year term, renewable for a second term. Members elected as Chair or Chair-Elect may serve for up to six years total if fulfilling their terms as an officer.

Implementation for the new term rotations begins with FY 2010.

**Resignation or Removal:** Commission members may resign for any reason. The Chair of the Commission shall appoint a new Commissioner to complete the remainder of the term.

A Commission member may be removed from office for failure to perform the duties required of Commissioners by a 2/3 vote of the Commission. The Chair of the Commission shall appoint a new Commissioner to complete the remainder of the term.

**Staff:** The ASAE president's designee serves as the CAE program manager and is responsible for the implementation of the policies established by the CAE Commission.

**Meetings:** The CAE Commission meets at least three times each year.

**Quorum:** At any meeting of the Commission, a majority of the voting members shall constitute a quorum.

**Votes of Commission:** Revisions, additions or deletions of standing rules require a two-thirds (2/3) vote. Revisions, additions or deletions of policies require a simple majority vote.

**Rules of Order:** Unless otherwise specified, governance of the Commission shall be conducted according to parliamentary procedures as outlined in Robert's Rules of Order, Newly Revised.

**Vacancies:** In the event that a current Commission member cannot complete his or her term, the Chair of the Commission may appoint a new Commissioner to fulfill the term.

**Standing Rule #2**      **Commission Responsibilities**  
**Revised:**            **November 2008**  
                              **February 2009**

**Responsibilities of the CAE Commission and its commissioners include:**

1. Set the strategic direction for the CAE program.
2. Act to assure fiduciary responsibility to the CAE Commission.
3. Establish, monitor and revise, as needed, the standing rules, policies and procedures related to the CAE program. All standing rules, policies and procedures shall be reviewed annually and published [made publicly available] on the CAE website.
4. Initiate periodic job analysis studies and utilize the results to keep the CAE examination specifications current.

5. Develop, monitor and revise, as needed, the CAE initial and renewal application criteria and forms.
6. Set examination policies within accepted psychometric practices.
7. Establish dates and set fees for the CAE examination and program.
8. Audit and monitor all CAE testing and vendor facilities on an as needed basis for the purpose of quality assurance compliance.
9. Respond to concerns and recommendations by CAE candidates and certificants about the CAE program.
10. Confer CAE designation on qualified candidates and revoke designation as appropriate.
11. Hear appeals brought before the Commission based on established policy.
12. Attend CAE Commission meetings and serve on committees and task forces or in other official functions as requested by the Commission Chair.
13. Actively promote the CAE program.

**Standing Rule #3      Committees**  
**Revised:              February 2008**

**Standing Committees:** Standing Committees are formed by the Commission and have continuing duties and/or responsibilities to consider and/or act on in certain matters related to the purposes of the CAE Commission. These Standing committees shall be named and their specific purposes and responsibilities enumerated in the Policies and Procedures. Standing Committees may appoint subcommittees to carry out the work of the committees.

**Task Forces:** Task Forces are formed by the Commission to consider specific matters and/or complete specific tasks related to the purposes of the Commission and not otherwise assigned to standing committees. Task Forces are dissolved upon completion of their tasks.

**Selection:** Standing Committee Chairs shall be appointed by the Chair of the Commission in consultation with the past standing committee chair and staff. Task Force Chairs shall be appointed by the Chair of the Commission and do not require approval of the Commission. Committee or Task Force members shall be appointed by the Committee/Task Force chair with approval of the Chair of the Commission. Committee or Task Force Chairs may be Commission members. Committee or Task Force members may be Commission members or CAE volunteers. Committee or Task Force members are appointed for a one-year term, which may be renewed up to two (2) times. Committee appointments are staggered with one-third of the committee members replaced each year.

Those interested in serving on a CAE Committee or in a volunteer capacity must submit a Volunteer Service Form outlining their experience and their desire to serve.

**Policy # 1**                      **Subject:            Confidentiality and Conflict of Interest**  
**Date Adopted:**            **July 2001**  
**Revised:**                    **February 2003**  
                                      **July 2003**  
                                      **February 2008**

As the CAE Commission administers a certification program, CAE Commission members, staff and committee members will at times learn of confidential or sensitive information regarding CAE applicants or certificants 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 Commission or Committee members or staff or as necessary in the context of a disciplinary proceeding. All Commission members, staff and committee members with access to such information shall sign a security/confidentiality agreement prior to commencing service on or for the Commission and shall retain Commission information only so long as necessary to complete any required tasks.

1. The agreement will require these individuals to maintain in strict confidence any and all information related to commission discussions and decisions unless prior approval is given by the Chair or such information is made publicly available. This includes (but is not limited to) information related to the following:
  - Applicants and Applications, both new and renewal
  - Commission decisions and actions related to applications.
  - Commission finances
  - Item bank and exam development
  - Disciplinary actions and appeals

Certification applications and candidates' performance on the CAE examination shall remain confidential unless otherwise stipulated by the examinee or as required by law. The CAE program will release application and pass/fail information only to the applicant and only in writing.

The exception to this is the published list of CAEs that the Commission makes available to the public. This statement does not preclude the publishing of any certificant's name against whom disciplinary action has been taken.

2. All such confidential information shall be maintained in a safe and secure place, such as a locked file drawer or a password protected electronic file. Reasonable steps will be taken to protect against inadvertent disclosure or theft of the information.
3. Upon termination of service with the Commission or one of its entities, the individual will return or destroy any confidential information received or acquired relating to the certification program.
4. Any work done by an individual on behalf of the Commission is a work for hire and belongs to and remains the property of the Commission.
5. The individual agrees not to engage in actions which may constitute an actual, apparent, or potential conflict of interest with the mission and activities of the Commission, and will disclose to

the Commission any such conflicts of interest and any business, financial, personal, and organizational interests and affiliations which are or could be construed to be a conflict of interest.

For a period of at least two (2) years after service on the Commission or its entities, the individual will not become directly involved in any preparation or presentation of instructional materials or programs designed to prepare persons to complete the certification process.

**Policy #2**                      **Subject:        Commission Meetings**  
**Date Adopted:**            **September 1991**  
**Revised:**                    **February 1996**  
                                      **February 2003**  
                                      **April 2004**  
                                      **January 2007**

The CAE Commission meets at least three times each year and holds teleconferences as needed. At each full Commission meeting, the Commission should be provided the most recent available financial statement reflecting year-to-date operations and previous year-end figures. The Commission meetings are open to the public except when activities or discussions pertain to test content or items, standard setting, or appeals or when an executive session is called by the Chair. Minutes should reflect any actions taken in executive session.

**Policy # 3**                      **Subject:        Public Disclosure**  
**Date Adopted:**            **April 2004**  
**Revised:**

CAE Commission policies will be made publicly available except policies whose release jeopardizes the security or integrity of the examination.

**Policy # 4**                      **Subject:        CAE Committees**  
**Revised:**                    **February 2008**  
                                      **November 2008**

**Communications:** Committee chairs shall be responsible for the submission of written committee reports.

**Confidentiality:** All committee members are required to sign a confidentiality agreement annually. The Commission Chair-Elect is responsible for distribution and receipt of the forms. The forms will be kept on file in the CAE department office. Task force members who are not members of the Commission are required to sign a confidentiality agreement before commencing service on a task force.

**Certification Status:** Individuals who serve as volunteers and who are eligible for certification as a CAE must attain and maintain a CAE credential.

**Duties:** The duties of committee members shall be described in committee position descriptions. Task Force member duties are defined in the creation of the task force. All committee and task force members will abide by the CAE Standing Rules and Policies and Procedures.

### **Standing Committees**

Pursuant to CAE Commission Standing Rule #3, standing committees are formed by the Commission and their specific purposes and responsibilities are to be enumerated in the Policies and Procedures. The Commission has seven standing committees: Executive Committee, Examination Committee, Marketing Committee, Item-Writing Committee, Policies Committee, Appeals Committee, Authoritative Literature Committee, and Professional Conduct Committee.

### **Executive Committee**

*Purpose:* The purpose of the Executive Committee is to set all meeting agendas, serve as the Finance Committee and dispose of day to day matters involving policies and programs previously approved by the CAE Commission between meetings of the Commission.

The responsibilities of the Executive Committee include: 1) the faithful execution of the Commission charges; 2) upholding the Standing Rules and Policies and Procedures; 3) working with the Policy Committee for interpretation of policy as needed; 4) approving non-budgeted expenditure requests as they arise; 5) creating an annual budget for Commission approval; 6) making decisions on behalf of the Commission between meetings; and 7) submitting written minutes of meeting to the Commission.

*Composition:* The Executive Committee shall consist of the CAE Commission Chair, Past Chair and Chair-Elect as well as the Director of Credentialing who serves in a non-voting ex officio capacity. The Chair-Elect shall also serve as the Treasurer of the Commission.

### **Examination Committee**

*Purpose:* The CAE Examination Committee is responsible for reviewing and editing examination questions, making the final selection of items that comprise each test form, and recommending the passing score to the Commission for approval. The Exam Committee is also responsible for monitoring the items in the CAE item-bank and for retiring existing items or recoding them to appropriate references.

*Composition:* The Examination Committee shall be composed of 12-15 individuals representing the various types of organizations represented by the CAE population.

### **Marketing Committee**

*Purpose:* The CAE Marketing Committee is responsible for developing and managing strategies that will accomplish the following: increase the awareness of the value of the CAE certification to certificants, potential certificants, the public, employers, and other stakeholders; increase the number of CAE applications; and monitor the CAE renewal rate and encourage renewal.

*Composition:* The Marketing Committee shall be composed of 3 – 5 people representing the various types of organizations represented by the CAE population.

### **Item-Writing Committee**

*Purpose:* The CAE Item-Writing Committee is responsible for drafting proposed CAE items on an ongoing basis and coding each item to an appropriate reference.

*Composition:* The Item Writing Committee shall be composed of 12 – 15 individuals representing the various types of organizations represented by the CAE population.

### **Policies Committee**

*Purpose:* The CAE Policies Committee is responsible for reviewing, on an annual basis, the policies and procedures of the Commission and for making recommendations for any additions or changes to existing standing rules, policies or procedures based on best practices for a certification program.

*Composition:* The Policies Committee shall be composed of 3 – 5 individuals representing the various types of organizations represented by the CAE population.

### **Appeals Committee**

*Purpose:* 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.

*Composition:* The CAE Appeals Committee is comprised of two former chairs of the CAE Commission, and three former CAE Commission members.

### **Professional Conduct Committee**

*Purpose:* The Professional Conduct Committee is responsible for investigating, deliberating, and bringing to resolution, according to these Rules and Procedures, all complaints against Certificants.

*Composition:* The Professional Conduct Committee shall be composed of 6 – 12 individuals representing the various types of organizations represented by the CAE population.

### **Authoritative Literature Committee**

*Purpose:* The CAE Authoritative Literature Committee is responsible for reviewing the authoritative literature list on an annual basis and for making recommendations for any revisions. The committee is also responsible for a more detailed review of the list after every job analysis.

*Composition:* The CAE Authoritative Literature Committee shall be composed of 3 – 5 individuals representing the various types of organizations represented by the CAE population.

<b>Policy # 5</b>	<b>Subject:</b>	<b>Examination Development</b>
<b>Date Adopted:</b>	<b>March 1994</b>	
<b>Revised:</b>	<b>February 1996</b>	
	<b>February 2003</b>	
	<b>February 2009</b>	

All individuals involved with examination development shall follow established security and confidentiality measures as outlined in the Item-Writing Handbook. Concerns regarding a breach of this policy should be reported to the Chair of the CAE Commission or the Director of Credentialing. If the concern involves the Chair of the CAE Commission, the concern should be reported to the Chair-Elect or the Director of Credentialing. Concerns regarding a breach shall be investigated in accordance with established procedures.

A job analysis study of the association management profession will be performed no less frequently than every five years. The study findings will serve as the foundation for the examination specifications. The examination specifications will be reviewed by the CAE Examination Committee and any necessary adjustments will be recommended to the Commission for review and approval.

A body of literature aligned with the examination content outline will be identified by the CAE Commission and designated as the Authoritative Literature. The Authoritative Literature shall be reviewed annually and revised at that time if appropriate.

Items written for the CAE examination item bank should be properly referenced to a current item from the CAE Authoritative Literature. In the event that a question cannot be referenced to any item from the Authoritative Literature, the question may be referenced to a published article, book or other document provided:

- The reference source is no older than the oldest reference on the Authoritative Literature;
- The reference is readily publicly available in a published format; and
- The reference source was prepared through an editorial process that included standard review and fact-checking processes (e.g., included in a magazine, journal, or professionally published book.)

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 CAE Examination Committee, 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.

The passing standard shall be set using a criterion-referenced methodology. The Examination Committee will submit the proposed passing standard to the CAE Commission for final approval.

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.

<b>Policy # 6</b>	<b>Subject: CAE Assessment System and Renewals</b>
<b>Date Adopted:</b>	<b>April 1991 (entitled Becoming a CAE)</b>
<b>Revised:</b>	<b>February 1996 (entitled Becoming a CAE)</b>
	<b>February 2003</b>
	<b>May 2007</b>
	<b>October 2007</b>
	<b>February 2008</b>
	<b>February 2009</b>

The CAE assessment system includes an eligibility application, a multiple-choice test, and a renewal application.

#### Eligibility

Candidates must submit an application that documents fulfillment of requirements in formal education, professional (work) experience, professional conduct, and professional development as follows:

#### **1. PROFESSIONAL EXPERIENCE AND EMPLOYMENT**

Candidates must document sufficient professional experience at a qualifying organization: either three years of experience as a CEO with a bachelor's degree or equivalent, or five years of experience as a staff

member with a bachelor's degree or equivalent. Candidates must be currently employed with a non-profit trade association, professional society, individual membership organization, philanthropic organization or association management company ("a qualifying organization"); OR they must have been employed within the six months prior to application in such a qualifying organization and must intend to return to such employment as soon as a suitable employment opportunity exists. A for-profit service corporation, wholly owned by a qualifying organization is a qualifying organization.

## **2. EDUCATION**

Candidates must have either received a bachelor's degree from an accredited institution of higher learning or its equivalent or they must have completed eight years of full-time work experience equivalency. A combination of college education and work experience equivalency is allowed. For purposes of determining work experience equivalency, of two years of full-time work experience will be considered as the equivalent of one year of full-time education at an accredited institution of higher learning.

## **3. PROFESSIONAL CONDUCT**

Candidates must agree to adhere to the ASAE Standards of Conduct and attest that they have not been convicted of a felony related to the practice of association management.

## **4. PROFESSIONAL DEVELOPMENT**

Within the five (5) years preceding application, Candidates must complete 75 hours (effective 2010, candidates must complete 100 hours) of broad-based, association management-related professional development activities that reflect the weighting of domain topics in the exam content outline. Effective January 1, 2010, candidates must complete 100 hours of broad-based association management related professional development activities within the five years preceding the application. Within those 100 hours, no more than 20 hours can be from any one domain topic.

Educational program delivery may be through face-to-face instruction, real-time audio conference (with or without web casting), or online facilitated (a)synchronous courses. CAE Policy #7 (former 22), "Self-Study Program Eligibility for CAE Credits", outlines criteria for educational materials used for individual, self-paced study.

Receiving mentoring specifically focused on the field of association management and representative of the exam content outline for a minimum of 20 hours can qualify for 10 percent of the required hours. As verification, candidates will complete a designated form, to be signed by the mentor. The individual providing mentoring must be a CAE. Implementation of mentoring as approved professional development will be deferred to January 2010.

Once approved, a candidate is eligible for a 3-year period but must meet all current eligibility requirements at the time of testing.

### **Testing**

After being determined eligible, candidates must pass a multiple-choice exam administered in a single four-hour time frame. Within six weeks of sitting for the examination, candidates are notified in writing of their results. For security reasons, results will not be given over the phone or sent by fax or email.

### **Certification Period**

After successful completion of the exam, candidates become certified for a period of up to 3 years ending on the third December 31st after the date certification is awarded.

### **Retesting**

A candidate may sit for the CAE examination only once during each calendar year. Repeat candidates shall submit a re-examination fee and shall submit proof of ongoing fulfillment of the eligibility requirements in effect at the time of the test administration.

### **Hand Scoring**

A candidate may request a hand-score of his or her answer sheet. Requests must be made in writing postmarked no later than 30 days after notification of results and must include the applicable fee. A notice of the hand-score will be sent by certified mail to the candidate within 30 business days of receipt of the request. The results of the hand-score will be final.

### **Renewal**

Certification renewal is required every three (3) years. Renewal applications or inactive status requests must be submitted by October 31 of the year of certification expiration. Upon payment of a designated fee, a renewal application filing extension may be granted up to December 31 of the year of expiration.

As outlined below, the renewal application documents 1) ongoing adherence to professional conduct requirements and 2) completion of professional development activities, or a combination of professional development activities and contributions to the profession:

- Renewing certificants must have completed a minimum of 40 hours of association management related professional development, or a minimum of 30 hours of association management development plus 10 hours of qualifying leadership, authorship, and teaching activities contributing to the profession of association management. Qualifying leadership activities include volunteer service as a chairman, Chair-Elect or officer for committee service to a qualifying organization other than the applicant's employer.
- When renewing for the first time, applicants may include qualifying CAE credit hours not previously submitted for CAE credit provided they have been completed less than three (3) years prior to the date of renewal (e.g. preparatory coursework undertaken after submission of the application).
- Renewal applicants must again agree in writing that they will adhere to the ASAE Standards of Conduct and they must re-attest that they have not been convicted of a felony related to the practice of association management.

### **Inactive Status**

Inactive Status is available to CAEs who do not meet their recertification eligibility requirements, but who do not wish to permanently lose their certification status.

Inactive status provides CAEs with a three-year period beyond their period of active certification in which to meet their recertification eligibility requirements.

While an individual's status is inactive, the CAE credential and designation MAY NOT be used.

To apply for inactive status, certificants must complete the appropriate form and pay the inactive status fee. Applications must be received prior to end of the certification period for the request to be honored.

## **Reactivation**

The CAE certification may be reactivated at any time during the inactive period as long as the recertification requirements are met. Reactivation will be approved by meeting the recertification requirements including payment of appropriate fees and fulfilling professional development or activities requirements or by re-examination. Professional development credits must be accrued within the three years leading up to the resumption of certified status.

### **Policy 7            Subject:            Self-Study program eligibility for CAE credits**

An educational program used for individual, self-paced study may be recognized for CAE credits if it meets the following criteria:

- The program must be suitably recent, as defined by the oldest reference included in the CAE Authoritative Literature.
- The program must have clearly identified learning objectives linked to the CAE Exam Content Outline.
- It must include an interactive component such as quizzes, post-tests, or other learning assessment exercises or activities by which participants apply and demonstrate comprehension of the covered content areas.
- The program must meet recognized standards for effective self-study programs.

Proof of completion (i.e. a certificate of completion) must be submitted with the application. Self-study credits may only account for one-half of any applicant's education hours.

### **Policy #8            Subject:            Reasonable Accommodations Pursuant to the ADA Date Adopted:            February 2003**

Reasonable accommodations for testing shall be provided without charge to candidates who provide proof of 1) a disability as defined by Title III of the Americans with Disabilities Act, or 2) special medical needs. A written explanation of the candidate's required accommodation and supporting medical documentation must be submitted at the time of application.

### **Policy # 9            Subject:            Examination Administration and Security Date Adopted:            April 2004 Revised:                February 2009**

1. The CAE examinations are administered twice per year.
2. Candidates are notified of examination registration options at least six weeks prior to the examination. Candidates must register for the examination.
3. Registered examinees who cancel fewer than 10 working days prior to the examination date or who fail to appear at the examination site must pay the applicable cancellation fee.

4. A candidate who arrives at the designated examination site after the proctor has begun reading the examination instructions may not sit for the examination on that date.

The CAE exam is administered at regularly scheduled regional examination centers throughout the U.S. on the first Friday in May and the first Friday in December beginning at 9:00 a.m. local time.

#### Criteria for CAE examination centers

The host facility must meet the following criteria:

- A. Provide for necessary security during receipt and storage of exam materials.
  1. It must be able to receive overnight, trackable shipments during regular business hours.
  2. All examination materials must be secured in locked storage or supervised from the time of receipt until the time of return.
- B. Provide suitable building facilities.
  1. The examination center must conform to ADA requirements and local building codes, including the ability to accommodate candidates with special medical or disability needs.
  2. Restrooms must be located in the same building as the examination room and be clean, supplied, and in working order.
- C. Provide a test room with:
  1. Secure access
    - a. Examinations must take place in an access-restricted separate room that has a lockable door and that is free from any other activity during the test period.
    - b. The examination room must allow an unobstructed view of each candidate by an in-room proctor or professional testing surveillance system, if applicable.
  2. Adequate space
    - a. The examination room must be large enough to provide adequate table space for each candidate, a separation of three feet between candidates, and aisle space between and around each table for proctor observation.
    - b. It is preferable that all candidates be seated facing in the same direction.
    - c. The examination center must provide a diagram of the room and tables for planning purposes.
  3. Suitable furniture
    - a. The examination room must have tables at least 18" wide, with flat and adequate writing surfaces (i.e., "tablet" style tables are not allowed).
    - b. The examination room seating should be movable and reasonably comfortable for an adult candidate.
  4. An environment conducive to testing

- a. The examination room should provide a calm testing environment, free of distractions.
  - b. The examination area should be reasonably sound proof and located so candidates will not be disturbed by foot traffic, loud conversation or outside noise.
  - c. Windows and glass walls must have appropriate shading options.
  - d. The examination room must be well ventilated and provide continuous air circulation and a consistent, comfortable temperature without the need to open windows.
  - e. The examination room must have adequate lighting so that candidates can read all materials without difficulty.
- D. Be reasonably accessible to the general public.
1. The location should be reasonable convenient in terms of regional access by car or public transportation.
  2. Adequate parking should be available at the time of the examination if candidates are expected to arrive by car. Every effort should be made to ensure that costs and parking policies are reasonable.
  3. The facility should be relatively easy to locate and access.

Individual candidates located further than 120 miles from a scheduled examination site may identify and arrange for an examination center that meets Commission-approved standards for the established examination date and time. The candidate is responsible for making all such arrangements as well as for covering any associated costs. The candidate will also pay the applicable administrative fee to the CAE program at the time of application.

Stakeholder groups may also petition for the establishment of a special examination center on the scheduled examination date and time, provided they guarantee a minimum of 5 candidates. Requests for a special examination site must:

- Be made at the time of application, accompanied by completed applications for new candidates, or exam registration requests for previously approved candidates.
- Identify an examination facility that meets the Commission's criteria for examination centers and that is located a minimum of 120 miles from all scheduled examination sites for that examination date.
- List an appropriate number of suggested proctors who meet the selection criteria and who have expressed a willingness to proctor the exam. (See Policy 11, Proctor Criteria.) The sponsoring organization and/or applicants are responsible for any costs incurred for the examination center and proctors. Approved special examination centers will be added to the published schedule of exam locations and must accommodate additional candidates to the extent that space and proctor services allow.

Examination administration and security procedures shall be provided in writing to all candidates prior to the examination. The Commission shall take appropriate action regarding any reported violation of the examination administration and security policies as outlined in policies.

<b>Policy #10</b>	<b>Subject:</b>	<b>Special Testing Arrangements</b>
<b>Date Adopted:</b>	<b>July 2002</b>	
<b>Revised:</b>	<b>February 2003</b>	
	<b>November 2008</b>	

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 a rescheduling 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.

<b>Policy #11</b>	<b>Subject:</b>	<b>Proctor Criteria and Training</b>
<b>Date Adopted:</b>	<b>March 1994</b>	
<b>Revised:</b>	<b>February 1996</b>	
	<b>February 2003</b>	
	<b>July 2003</b>	
	<b>April 2004</b>	
	<b>February 2009</b>	

1. Proctors who are practicing in the field of association management must be CAEs.
2. Proctors must comply with requirements and be approved by the CAE program manager.
3. There must be a minimum of two (2) proctors per test site for up to 20 test takers. For each additional 1 to 10 test takers over 20, there must be one (1) additional proctor.
4. Proctors should follow established examination administration policies as outlined in the Proctor Manual.
5. CAE program staff will conduct a proctor training session prior to the exam date, including the following:
  - Examination administration practices
  - Procedures for responding to violations of examination administration practices
  - Examination security policies
  - Procedures for responding to violations of examination security policies by candidates or proctors during an examination
  - Procedures for reporting violations of examination security policies that could reasonably result in a candidate receiving an unfair advantage on the examination

6. The following individuals are not eligible to serve as proctors:
- Current members of the CAE Commission
  - Current members of the CAE Appeals Committee
  - Current members of the CAE Examination Committee
  - Current members of the CAE Item Writing Committee
  - Current review course instructors
  - Anyone who has a familial or an employment relationship with any candidate during an administration of the examination

<b>Policy #12</b>	<b>Subject:</b>	<b>Fees</b>
<b>Date Adopted:</b>	<b>April 1991</b>	
<b>Revised:</b>	<b>February 1996</b>	
	<b>February 2003</b>	

The Commission shall set all fees and review them annually. A schedule of fees is attached as appendix B to the policy manual.

**Initial Application**

All CAE applicants must pay the initial application fee. An application rush processing fee will be applied to applications received after the application deadline, up to the designated rush processing deadline. If and when an applicant is determined not eligible to sit for the exam, a refund of the initial application fee less a non-refundable processing fee shall be made.

**Examination Fee**

The initial application fee includes the examination fee for those candidates who register and take the CAE examination within one (1) calendar year of application acceptance. Candidates who take their (first) examination more than one year after application must pay a separate examination fee.

**Renewal**

The non-refundable processing fee for CAE renewal is due when the Renewal Application is submitted at the end of each certification period. Applicants have the opportunity to purchase an application filing extension. A discounted renewal fee shall apply to applicants who are 70 years of age or older.

<b>Policy #13</b>	<b>Subject:</b>	<b>Use of the Certification Title and Initial Designation</b>
<b>Date Adopted:</b>	<b>April 1991</b>	
<b>Revised:</b>	<b>February 2003</b>	
	<b>July 2003</b>	

Individuals who are currently certified may use the title “Certified Association Executive” and the designation “CAE”.

The title and designation may not be used to imply that an association or firm is certified.

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.

The designation "CAE" is a trademarked property and its use is subject to approval by the CAE Commission.

<b>Policy #14</b>	<b>Subject:</b>	<b>Revocation or Other Disciplinary Actions</b>
<b>Date Adopted:</b>	<b>March 1994</b>	
<b>Revised:</b>	<b>February 1996</b>	
	<b>February 2003</b>	
	<b>April 2004</b>	
	<b>November 2007</b>	
	<b>November 2008</b>	

A Certificant may have his/her certification revoked or other disciplinary action taken for violation of the ASAE Standards of Conduct or other CAE program policies including:

- Conviction of a felony relating to professional practice in the field of association management;
- Violation of examination procedures or security;
- A material misstatement on an application for initial certification or **recertification** application or in any of its representations to the Commission, or other information related to professional practice, whether intentional or unintentional;
- Misrepresentation or improper use of the credential;
- The Certificant does not pay program fees on a timely basis. (Failure to pay fees on time does not require review under the disciplinary Rules and Procedures.)

In the course of applying for certification or recertification, Certificants are to be made aware of the bases for which certification can be revoked.

The Professional Conduct Committee shall be empowered to investigate, deliberate, and bring to resolution, according to these Rules and Procedures, all Complaints against Certificants.

The CAE Commission, including action by the Professional Conduct Committee as delegated by these procedures, is the only entity authorized to make final decisions with respect to revocation or other disciplinary actions.

## 1) Objectives and Responsibilities of the Professional Conduct Committee

- a) **Objectives.** The fundamental objectives of these Rules and Procedures are to protect the public against unprofessional and unethical conduct by Certified Association Executives ("Certificants"). This objective is accomplished by maintaining and administering these *Rules and Procedures Regarding Ethical and Professional Conduct Complaints* ("Rules and Procedures"). The purpose of these Rules and Procedures are:
  - i) to ensure that any person who currently holds or held at the time of alleged offense the Certified Association Executive (CAE) certification or an applicant for such certification

- ("Certificant") awarded by the CAE Commission ("CAE Commission") (a "CAE") is practicing in accordance with profession and community standards,
- ii) to ensure the integrity of the program requirements and certification process;
  - iii) to ensure that issues regarding Certificants' ethical practices are evaluated and determined on a peer group basis; and
  - iv) to ensure due process for how Complaints against Certificants may be filed, and how the CAE program will respond to, investigate, and take appropriate action concerning the allegations.
- b) **Resolution of Complaints.** The Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, shall oversee proper consideration of all Complaints of alleged unprofessional and unethical conduct or other violations of the ASAE Standards of Conduct or CAE program policy in accordance with these rules such as to bring to conclusion and, if necessary, take disciplinary action(s) as may be necessary to achieve the objectives of the ASAE Standards of Conduct, CAE program policies, and these Rules and Procedures.
- c) **Composition of the Professional Conduct Committee.** The Professional Conduct Committee Chair (who shall not be a member of the Commission) shall be appointed by the CAE Commission Chair. The Professional Conduct Committee shall be appointed by the Professional Conduct Committee Chair with approval by the CAE Commission Chair as outlined in Standing Rule 3. The Professional Conduct Committee shall be comprised of at least six (6) individuals who are CAEs in good standing and who are not members of the CAE Commission. The Immediate Past Chair of the CAE Commission shall participate in the deliberations of the Committee.
- d) **Authority of the Professional Conduct Committee.** The Professional Conduct Committee shall be empowered to investigate, deliberate, and bring to resolution, including taking appropriate disciplinary actions, according to these Rules and Procedures, with respect to all Complaints against Certificants.
- e) **Annual Activities.** Annually, or as requested by the Commission, the Professional Conduct Committee Chair shall:
- i) Ensure a review and analysis of the Rules and Procedures and, as deemed necessary, propose recommendations for improving the Rules for adoption by the CAE Commission.
  - ii) Deliver a summary report to the Commission identifying the Professional Conduct activities, including a report of any public sanctions during the year and summary of other actions as provided in these Rules and Procedures.
- f) **Time.** The time periods set forth in the sections below are intended to provide guidance to the Professional Conduct Committee, the Commission and the parties, and may be extended at the respective Chair's discretion depending upon the circumstances of each proceeding. Failure of the Professional Conduct Committee, the Commission or any party to comply with the time periods shall in no event prevent the continuation or conclusion of a proceeding by the Professional Conduct Committee or the Commission.

## 2) How a Complaint may be filed

- a) **Who may file a Complaint.** A Complaint against a Certificant may be submitted in writing by any party when a Certificant appears to have violated the ASAE Standards of Conduct or CAE program policy. The CAE Commission Chair may initiate a complaint on his/her own initiative.
- b) **Certificant Status.** A Certificant who is certified at the time of the alleged offense with the CAE Commission 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 Professional Conduct Committee Chair, in care of the Director of Credentialing, in a form that complies with the CAE Commission 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 the ASAE Standards of Conduct or CAE program policy 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 CAE Commission, in consultation with the Director of Credentialing and legal counsel, may direct the Professional Conduct Committee to self-initiate a Complaint based on information in Anonymous Complaints.

### 3) How Complaints are handled

- i) **Incomplete Complaints.** If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the Complaint does not sufficiently address what must be included in a Complaint, then steps may be undertaken to rectify the incomplete items or, as appropriate, dismiss the Complaint for failure to include the necessary elements that must be included in a Complaint, and the Complainant so notified.
- ii) **Complaints without merit.** If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the Complaint does not have merit, meaning the facts presented are inconsequential, unreliable, or present irrelevant information, the Complaint will be dismissed and the Complainant so notified. The CAE Commission Chair will also be notified of the decision.
- iii) **Complaints with merit.** If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the Complaint has merit, an investigation will be initiated, and the Complainant, Certificant, and CAE Commission Chair so notified. The notice to the Certificant whose conduct is in question shall include:

- (1) the basic facts of the Complaint, identify the alleged violation. The notice shall include a description of the alleged behaviors involved in the Complaint, including the specific sections of the ASAE Standards of Conduct or CAE program policy 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) a request that any specific information to assist in investigation of the Complaint be provided in the form of a written response and supporting documentation within thirty (30) days of receiving the notice a statement that all information submitted by the Certificant shall become part of the record, may be used in further proceedings, and only be disclosed in accordance with the policies on Confidentiality, Public Notice of Sanction, and Record-Keeping of Proceedings set forth within these rules;
  - (5) identification of the members of the Professional Conduct Committee and CAE Commission. The Certificant may submit a written petition within 7 days to the Professional Conduct Committee Chair identifying any conflict of interest concerns as to Professional Conduct Committee and/or CAE Commission members, detailing such concerns, and, as appropriate, asking for replacement of any such member. The Professional Conduct Committee Chair shall have final authority as to the disposition of such requests, and may appoint other CAE(s) in good standing as replacement members of the Professional Conduct Committee. In the case of conflict of interest concerns with members of the Commission, the CAE Commission Chair shall have final authority over all such requests, and Commission members deemed to have a conflict of interest shall refrain from all considerations and votes on the matter; and
  - (6) notice that a Formal Investigation will be instituted in accordance with the Rules and Procedures if the preliminary investigation is not satisfactorily concluded.
- iv) **Preliminary investigation.** The Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, will be responsible for conducting preliminary investigation of the Complaint and may seek additional information pursuant to the investigative methods outlined in the section of these Rules and Procedures entitled "Method of Conducting Investigation" (Section 3ix). The Certificant's failure to respond to the Complaint, or any other unwarranted delay or lack of cooperation by the Certificant, shall not prevent the continuation or conclusion of the proceedings by the Committee, as it deems appropriate.
- v) **Preliminary investigation reaching satisfactory conclusion.** Once the preliminary information and any other requested information has been considered pursuant to these Rules and Procedures, the Professional Conduct Committee Chair, in consultation with the Director of Credentialing, legal counsel, and Immediate Past Chair of the CAE Commission, may conclude that the Complaint has no basis in fact, is insufficient, or is likely to be corrected on its own merit and, therefore, may, on its own initiative, determine to close the case without further action. Such decision shall be made within sixty (60) days of the Professional Conduct Committee Chair's receipt of all of the requested information. The Professional Conduct Committee Chair shall inform both the Complainant and the Certificant. The notice to the

- Certificant shall state that the basic facts of the Complaint and preliminary investigation findings will be noted in the Certificant's record.
- vi) **Preliminary investigation failing to reach satisfactory conclusion.** If the response is not considered a satisfactory resolution by the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, the matter may be:
- (1) referred to an appropriate body (including, but not limited to, law enforcement agencies, the Certificant's employer, and/or other membership or credentialing bodies). In such cases, the further consideration of the Complaint may be suspended pending the outcome of the referral.
  - (2) referred directly to the Professional Conduct Committee with recommendation for disciplinary action if the preliminary investigation determines that the Certificant has been convicted of a felony deemed related to the practice of association management and/or other confirmed finding of malpractice or breach of relevant standards of conduct by legal authorities, membership organization, or certifying body. In such cases, the Certificant and Complainant will be so notified. The notice to the Certificant shall state the preliminary finding and recommendation, and the intent of the Professional Conduct Committee to undertake consideration of the issue on a given date. The notice shall also inform the Certificant of the opportunity to provide a written response and submit supporting documentation as show good cause in writing within 30 days of receipt why he or she should not have such disciplinary action taken, including, but not limited to, suspension or revocation of certified status. If the Certificant fails to timely respond, such action or inaction shall be deemed to be a waiver by the Certificant of his or her right to submit a written response.
  - (3) formally referred for Formal Investigation and deliberation, and the Complainant, Certificant, and CAE Commission Chair so notified, as provided in viii below.
- vii) **Procedure for Formal Investigation.** Within ten (10) days of a preliminary investigation determination that a Complaint requires Formal Investigation, the Professional Conduct Committee Chair shall appoint an Investigative Panel (the "Panel").
- (1) **Composition of Investigative Panel.** The Panel shall be designated and appointed at the discretion of the Professional Conduct Committee Chair. The Panel shall be comprised of two (2) members of the Professional Conduct Committee. The Chair of the Committee shall be authorized to participate in the discussion and deliberation of matters pending before each Panel. The Panel shall take action by consensus and the Chair of the Committee shall not vote.
  - (2) **Authority of the Investigative Panel.** The Panel, in consultation with the Director of Credentialing and legal counsel, may investigate and seek additional information pursuant to the investigative methods outlined in the section of these Rules and Procedures entitled "Method of Conducting Investigation" (Section 3x) and shall make a recommendation for action to the Professional Conduct Committee.
- viii) **Notice of Formal Investigation.** If a Formal Investigation is initiated, the Certificant shall be sent notice once an Investigative Panel has been appointed. The notice will advise the Certificant that he or she will have another thirty (30) days from receipt of notice to provide any

further information to the Panel and that he or she may also be asked to respond to additional questions or information requests.

- ix) **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 CAE record.
  - (2) **Experts.** Experts may be retained and consulted with as necessary to assist in investigations. The expert may be an individual certified by the CAE Commission, or a member of an acknowledged peer group established by the CAE Commission 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, it may be determined that the case should be closed, or proceed based on the information on hand. In the event that the additional information is not provided in a timely fashion, considerations may proceed based on the information on hand.
  - (4) **Additional violations.** If, during the course of its investigation, the Panel, Professional Conduct Committee, or CAE Commission determines that there may be additional violations of the ASAE Standards of Conduct or CAE program policy, then such violations may be investigated and appropriate findings regarding such additional violations may be reached in accordance with these Rules and Procedures.

**Panel Deliberation.** The Panel shall, in consultation with the Director of Credentialing and legal counsel, review all of the information and arrive at a consensus on a recommendation to the Professional Conduct Committee. The Chair of the Professional Conduct Committee shall be authorized to participate in the discussion and deliberation of matters pending before the Panel, but shall not vote. The recommendation of the Panel shall be provided in writing to the Chair of the Professional Conduct Committee for transmission to the full Committee.

- x) **Method of Professional Conduct Committee Deliberations.** The Professional Conduct Committee, assisted by the Director of Credentialing and the CAE Commission's legal counsel, will deliberate on the recommendation of the Panel, with access to the entire written record, in a private and confidential manner. The Certificant may petition the Professional Conduct Committee Chair for the opportunity to present an oral statement via conference call to the Panel. If granted, only the Certificant will be allowed to speak on his/her behalf. Such participation shall be at the sole discretion of the Professional Conduct Committee Chair and the Committee shall in no circumstance conduct a trial type hearing, and the rules of evidence shall not apply. The Immediate Past Chair of the CAE Commission and Professional Conduct

Committee Chair shall both participate in the deliberations and each shall have a vote on all issues, as shall all members except those serving on the Investigative Panel. The Professional Conduct Committee shall be instructed as to the full range of actions it may take, including to close the case without further action up to revocation of the Certificant's CAE credential. The Committee shall be instructed to carefully consider its charge to protect the public against unprofessional and unethical conduct, as well as the gravity of the findings when determining disciplinary action. A vote shall be taken as to the disposition of the matter, determined by a majority 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 and Procedures entitled "Types of Disciplinary Actions" (Section 4a).

- xi) **Notification of Professional Conduct Committee Determination.** Within ten (10) days from the date of its decision following an investigation, the Chair of the Professional Conduct Committee shall inform both the Complainant and the Certificant of the Committee's determination and, as appropriate, the actions to be taken, if any, along with the bases for such actions, including a citation to any and all ASAE Standards of Conduct, or CAE program policies that were violated by the Certificant. The notice shall be sent via an efficient and verifiable means. The notice to the Certificant shall also include notice of the Appeals provisions of these Rules and Procedures, as well as the relevant confidentiality, public notice of sanction, and record-keeping rules.

#### 4) Disciplinary Actions

- a) **Types of Disciplinary Actions.** The following disciplinary actions may be taken as deemed appropriate by the Professional Conduct Committee, or, in the case of an Appeal, the CAE Commission:

- i) **Private Sanction Disciplinary Actions**

- (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(s) cease the improper conduct, accept supervision or seek appropriate assistance;
- (4) Reprimand the Certificant in writing if there has been a violation of the ASAE Standards of Conduct and/or CAE program policies 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 ASAE Standards of Conduct and/or CAE program policies but the harm done is not sufficient to warrant more serious action;
- (6) Place the Certificant under probation and monitor the Certificant's conduct;
- (7) Refer the matter to the proper authorities for criminal prosecution, if appropriate;
- (8) Refer the matter to a national, regional, state or local professional association and/or a licensing or certifying authority;
- (9) Take any other action that is warranted under the circumstances.

## ii) **Public Sanction Disciplinary Actions**

- (1) Suspend the Certificant's CAE status for an appropriate period of time, including permanently, if necessary;
  - (2) Revoke the Certificant's CAE status for an appropriate period of time, including permanently, if necessary.
- b) **Multiple Sanctions.** The Professional Conduct Committee (or, in the case of an Appeal, the CAE Commission) may apply more than one sanction as deemed appropriate.

## 5) **Appeals Provisions**

- a) **Appeal of the Professional Conduct Committee's Decision.** The Certificant shall have thirty (30) days from the date of Notification of Professional Conduct Committee Determination to deliver a written appeal to the Professional Conduct Committee's findings. Failure to timely appeal the Professional Conduct 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.
- b) **Process for Appealing the Professional Conduct Committee's Decision.** The Certificant's appeal of the Professional Conduct Committee's decision must be in writing and shall be sent to the Chair of the CAE Commission care of the Director of Credentialing via an efficient and verifiable means. The Certificant shall state 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 Professional Conduct Committee's decision was not supported by or was contradicted by the evidence presented;
  - (2) The fact that the Professional Conduct Committee did not follow its own Policies, 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 CAE certification program, subject to the normal and regular cycle of renewal requirements.
- d) **Materials provided to the Commission to consider an Appeal.** In the event the Certificant timely and properly appeals the Professional Conduct Committee's decision, the Chair of the Professional Conduct Committee shall provide the Chair of the Commission with all information and materials collected during the Professional Conduct Committee's investigation and deliberations. The CAE Commission Chair shall also be provided a copy of the Certificant's written appeal of the Professional Conduct Committee's decision and a copy of these Rules and Procedures.

- e) **Consideration by the CAE Commission.** The Immediate Past Chair and any Commission member deemed by the CAE Commission Chair to have a conflict of interest in regard to hearing the Appeal shall be recused from all aspects of consideration of the Appeal. At the discretion of the Chair of the CAE Commission, the consideration of the Appeal may be scheduled to be determined on the agenda of its next regularly scheduled business meeting, or, if deemed necessary by the CAE Commission Chair, at a special session, including by teleconference. The Certificant may petition the CAE Commission Chair for the opportunity to present an oral statement via conference call to the Commission. If granted, only the Certificant will be allowed to speak on his/her behalf. Such participation shall be at the sole discretion of the CAE Commission Chair and the Commission shall in no circumstance conduct a trial type hearing, and the rules of evidence shall not apply. At the discretion of the Chair, an Appeals review panel of two or more Commissioners may be appointed to consider the facts of the matter and Appeal. The Commission shall then be presented with the Appeal and any findings of the Appeals review panel. A vote shall be taken as to the disposition of the Appeal, determined by a majority of votes cast. In the event that a majority support is not ascertained, the Commission may consider and hold subsequent votes as to the disposition of the Appeal, including on other disciplinary actions as allowed by the section of these Rules and Procedures entitled "Types of Disciplinary Actions" (Section 4a).
- f) **Options available to the Commission to resolve an Appeal.** For an appeal based on the assertion that the Professional Conduct Committee's decision was not supported by or was contradicted by the evidence presented, the Commission may:
- (1) Affirm the Professional Conduct Committee's decision;
  - (2) Determine that the findings of facts by the Professional Conduct Committee were clearly erroneous, and make an appropriate determination as to the disposition of the complaint;
  - (3) Determine that the disciplinary sanctions assessed by the Professional Conduct Committee 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 Commission may:

- (4) Affirm that the Professional Conduct Committee followed proper procedures and affirm the Professional Conduct Committee's decision; or
  - (5) Determine that the procedures used by the Professional Conduct Committee were in serious and substantial violation of the ASAE Standards of Conduct, professional conduct, and/or CAE program policies, and these Rules and Procedures, and either make an appropriate determination as to the disposition of the complaint, or refer the decision back to the Professional Conduct Committee to reconsider the matter utilizing proper procedures.
- ii) **Notification of Appeals determination.** The Certificant shall be notified in writing of the outcome of the Commission's determination in regard to the Appeal within ten (10) days of the decision via an efficient and verifiable means.

- iii) **Further Appeals.** The decision of the Commission on the Appeal shall be final and effective immediately as stated, and may not be appealed to the ASAE Board of Directors or any other body.

## 6) Confidentiality, Public Notice of Sanction, and Record-Keeping of Proceedings

### a) Public notice of Disciplinary Actions

- i) **Public reporting of Sanctions.** The names of all publicly sanctioned Certificants (pursuant to Section 4a(ii) of these rules) and the violations of the ASAE Standards of Conduct and/or CAE program policies involved as determined by the Commission shall be included in an annual report that is publicly available on the CAE program web site, and other appropriate locations as reasonably determined by the Commission. The report may also include cumulative and/or redacted reports of Private Sanctions of the Commission if the Commission decides such reports may serve as guidance to other Certificants.
- ii) **Notification of Public Sanction to Professional Societies.** In addition, the Director of Credentialing, on behalf of the Chair of the Commission, shall notify all national, regional, state or local professional associations of association executives of any publicly sanctioned Certificants (pursuant to Section 4a(ii) of these rules).
- iii) **Notice of Public Sanction available upon request.** Upon request, the Director of Credentialing shall provide such a report including the names of all publicly sanctioned Certificants (pursuant to Section 4a(ii) of these rules), including the violations of the ASAE Standards of Conduct and/or CAE program policies involved as determined by the Commission, to any interested person or public agency deemed necessary to protect the public.

### b) Confidentiality

- i) **Disclosure of Complainant and Certificant names.** The names and addresses of Certificant, and Complainant if necessary, shall be disclosed to the Director of Credentialing, CAE program legal counsel, Professional Conduct Committee Chair, and the Chair of the Commission, and additionally as necessary in the course of proceedings to the members of the Professional Conduct Committee, Commission, and any experts enlisted to assist in investigation and consideration of the matter.
- ii) **Confidentiality Attestation.** All individuals enlisted by, or on behalf of, the Professional Conduct Committee and/or Commission to investigate, consider or deliberate as part of these processes shall sign an appropriate statement setting forth their agreement to maintain all information as confidential, and to promptly return all information received during the course of an investigation to the CAE Commission's offices care of the Director of Credentialing.
- iii) **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 Director of Credentialing, Professional Conduct Committee and/or the Commission shall be permitted to:
  - (1) 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;

- (2) share relevant information with parties essential to the review and investigation of the alleged unethical or unprofessional conduct, including the CAE Commission's staff, legal counsel, and consultants or experts;
- (3) utilize such information in anonymous and aggregate form for purposes deemed appropriate by the Commission and/or Professional Conduct Committee, including, but not limited to, public reports, Certificant education, and research purposes.

**c) Record Keeping**

- i) **Handling, storage, maintenance and destruction of records.** The Director of Credentialing, with the guidance of the Commission and Professional Conduct Committee Chair, shall establish reasonable procedures to ensure that confidentiality is maintained with respect to the handling, storage, maintenance and destruction of records.
- ii) **Recording of Complaints in Certificant records.** All Complaints meeting the requirements outlined in the section of these Rules and Procedures entitled "How a Complaint may be filed" (Section 2 a - d) become a part of the record in the Certificant's file to be held in the CAE Commission's offices. The record shall include the steps undertaken in the due process review and any action taken, including notation of Complaints dismissed for lack of merit.
- iii) **Retention of records for closed cases.** 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.

<b>Policy # 15</b>	<b>Subject: Appeals for CAE Applicants, Candidates and Recertifying Certificants</b>
<b>Date Adopted:</b>	<b>April 1991</b>
<b>Revised:</b>	<b>March 1996</b>
	<b>February 2003</b>
	<b>February 2009</b>

An appeal may be made by a CAE applicant, candidate or certificant only regarding the following circumstances:

- the Commission's interpretation of standards including 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;
- testing conditions severe enough to cause a major disruption of the examination process; and
- exam score based on exam content and/or keyed item responses;
- the Commission's interpretation of standards required for recertification.

The applicant, candidate or certificant who wishes to make an appeal (the "Appellant") must submit an appeal in writing to the CAE Appeals Committee within thirty (30) days of receipt of notification of an adverse decision.

The CAE Appeals Committee shall then meet by teleconference within 30 days of receipt of the appeal. All determinations regarding appeals must be approved by a two-thirds (2/3) vote of the Appeals Committee.

Notice of the Appeals Committee determination shall be provided to the Appellant within 10 business days of the decision.

The Appellant then has 30 days from receipt of the Appeals Committee determination to file a written appeal with the CAE Commission.

The appeal shall be considered at the next regularly scheduled meeting of the CAE Commission. All determinations regarding appeals must be made by two-thirds vote of the Commission. Notice of the Commission determination shall be provided in writing to the Appellant within 10 business days of the Commission meeting.

The CAE Commission's determination shall be final.

<b>Policy # 16</b>	<b>Subject:</b>	<b>Records Retention</b>
<b>Date Adopted:</b>	<b>May 2006</b>	
<b>Revised:</b>	<b>February 2009</b>	

### **Applications**

Initial applications and certification renewal applications shall be maintained for one certification cycle (three years). ASAE shall maintain electronic records of all applicants and certificants.

### **Assessment Results**

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

### **Destruction of Records**

Answer sheets and test booklets: Answer sheets and test booklets shall be destroyed after 180 days from the test date. Test scores for all candidates and related documents to determine test cut-scores and psychometrics shall be destroyed using a cross-hatch shredder or other approved methods of document destruction.

Applications: When maintaining a record is no longer required, applications shall be destroyed in a confidential manner.

### **Policy # 17**

<b>Subject:</b>	<b>Finance</b>
<b>Date Adopted:</b>	<b>February 2009</b>

The CAE Commission shall follow ASAE policies for fiscal management, but shall retain the right to develop policies and procedures different than other ASAE groups. When such variance is deemed by the Commission as desirable to maintain the quality and integrity of the certification process, a stated rationale shall be made public by the Commission.

**Budget:**

Working with the Executive Committee, staff shall prepare the certification budget as outlined by ASAE budget requirements. The Commission shall review the certification budget.

Working in collaboration with ASAE, the Commission will budget to achieve a breakeven financial position, including the anticipated projected costs for the job analysis study; services for examination development, maintenance and administration; and other projects essential to conducting effective and thorough certification and recertification activities.

**Fundraising:**

The CAE Commission shall not engage in fundraising or activities outside the scope of certification and recertification activities.

**Contracts:**

The Commission shall use the RFP process to contract services for the job analysis; exam development, maintenance, and administration; and other related services. The Executive Committee shall review and approve such contracts prior to signing by staff.

**Financial Statements:**

Staff shall present monthly financial statements to the Finance Committee. Financial Statements shall be distributed to the full Commission prior to each Commission meeting or conference call.

**Fiscal Year:**

The Commission fiscal year shall coincide with the fiscal year of ASAE.

**Appendix A: Fee Schedule**

CAE Fee Schedule		
Fee Type	ASAE Member	Non-Member
Initial Application	500	700
Non-refundable Processing Fee	150	150
Application Extension	100	100
Examination	250	350
Exam Cancellation/Late/No Show	25	25
Renewal	185	265
70 & over Renewal	10	25
Renewal Extension	100	100
Hand Scoring	75	75
Inactive Status	200	200