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## **Section 1, Category 1 CBIC Board Members**

### **Category 1.0 CBIC Board Member**

#### **1.1 Nominations and Selection of CBIC Board of Directors**

Policy: The Certification Board of Infection Control & Epidemiology, Inc. (CBIC) Board of Directors are nominated by the Association for Professionals in Infection Control and Epidemiology, Inc. (APIC) after consultation and collaboration with CBIC leadership.

The CBIC Board of Directors must approve any revisions to this policy and procedure describing the CBIC Board nomination process. The nominating process must be consistent with the National Commission for Certifying Agencies, Standards for the Accreditation of Certification Programs and the CBIC Bylaws.

Procedure:

1. CBIC evaluates the composition of the Board of Directors annually as defined in the CBIC Bylaws to determine if the Board composition best represents professionals practicing in the field of infection control and epidemiology, and the needs of the organization.
2. The CBIC President notifies APIC headquarters at the start of each calendar year of the need to schedule discussion between CBIC leadership and APIC Nominating and Awards Committee (NAC) leadership regarding the number and composition of CBIC Directors needed for the next calendar year. Both leadership groups may decide to include all members of the APIC NAC to participate in the discussion.
3. The CBIC President notifies all certificants early each year as to the number of CBIC Board position openings in the CBIC e-newsletter and broadcast emails, and on the CBIC website.
4. CBIC Board applications are processed by the APIC NAC using a candidate-scoring tool.
5. APIC forwards all CBIC Board applications to the CBIC Executive Director, who in turn sends them to the CBIC Nominating Committee to select the individuals who will serve on the Board beginning January 1 of the following year.
6. The CBIC Nominating Committee participates in the APIC NAC meeting virtually or in person.
7. The CBIC Nominating Committee holds a conference call to narrow down the pool of candidates to a small group. Interviews are held with the candidates and they are evaluated using an objective scoring tool. Following the interviews, candidates are selected and forwarded to APIC.
8. The APIC Board of Directors approves the nomination of the candidates.

9. The CBIC Executive Office forwards the curricula vitae of the newly appointed CBIC Directors to the CBIC President-Elect in order to evaluate their strengths for CBIC committee placement.
10. The CBIC President contacts the newly appointed CBIC Directors in November to congratulate them on their appointment and appraises the CBIC Board of the new Directors. The CBIC President-Elect sends a letter to the newly appointed CBIC Directors in December to welcome them to the Board and inform them of their committee assignments and scheduled Board meeting dates for the next year. The CBIC Executive Director sends a letter and includes the Board calendar for the upcoming year.

## **1.2 CBIC Director Serving an Additional Term**

Policy: A CBIC Board Director may seek a second non-consecutive term after a two-year interim. However, the Director must be recommended by the CBIC Board for re-appointment to the APIC NAC.

Procedure:

1. A CBIC Director whose term of office expired and seeks a second non-consecutive term may apply again after a two-year interim period. \*Please see procedure in 1.1.

## **1.3 CBIC Director Professional Requirements**

Policy: CBIC Board member requirements are defined in the CBIC Bylaws.

Procedure:

1. CBIC evaluates the composition of the Board of Directors as defined in the CBIC Bylaws annually to determine if the composition best represents professionals practicing in the field of infection control and epidemiology, and the needs of CBIC.

Changes must be made in accordance to Bylaw revisions and consistent with standards established by the National Commission of Certifying Agencies (NCCA). Changes to take effect in the next calendar year should be made in advance of notifying APIC of needed criteria to be fulfilled by newly appointed Directors and efforts to solicit Director applicants.

## **1.4 Certification Eligibility**

Policy: Due to access to the test items, CBIC Directors are not eligible to recertify by either the recertification examination or continuing education during their term, and for two (2) years following completion of their term of office.

Procedure:

1. When necessary, the duration of a Director's existing certification will be extended to cover their term and the subsequent three-year period.
2. Directors must recertify during the third year following completion of their term in order to remain certified.
3. Should a Director's certification expire during their term on the Board, their certification will be extended according to the procedure above.

4. CBIC staff updates the certificant's profile in the database to reflect the updated expiration date upon appointment.

## Section 1, Category 2 Officers and Committees

### Category 2.0 CBIC Officers, Standing Committees, and Coordinators

#### 2.1 Nomination and Election of CBIC Officers

Policy: Officers of the CBIC Board are elected annually at the fall Board meeting according to the corporate Bylaws.

Procedure:

1. Sixty days (60) prior to the fall Board meeting, the CBIC President notifies the APIC liaison to initiate the nominations process for CBIC Officers.
2. Nominations are solicited for the offices of President-Elect, Treasurer and Secretary by a written willingness to serve process. Willingness to run is confirmed by the nominee prior to finalizing the ballot. Nominations from the floor are accepted at the fall Board meeting.
3. Officers are elected in the following order: President-Elect, Treasurer and Secretary. Proxy votes are not recognized. If the fall Board meeting is held as a conference call, electronic ballots are sent out one (1) week prior to the meeting.
4. The vote is determined by a majority of the voting Board members if more than two (2) candidates run for the same office. A run-off election between the top two (2) contenders will be held if necessary. Presidential vote will be counted only as a tiebreaker.

#### 2.2 Office of President

Policy: The President is responsible to the CBIC Board of Directors for the administration, direction and coordination of all CBIC activities, in partnership with the Executive Director, as applicable.

Procedure:

1. Qualifications:
  - a. Serves as CBIC President-Elect prior to assuming Presidential duties
  - b. Strong leadership and management skills
  - c. Strong communication skills
  - d. Able to commit a substantial amount of time to office
  - e. Knowledge of parliamentary procedure
2. Administrative Responsibilities:
  - a. Chairs the Board of Directors meetings
  - b. Chairs the CBIC Executive Committee
  - c. Casts the tie-breaking vote as needed
  - d. Appoints special ad hoc committees as indicated
  - e. Serves as ex-officio member on all standing committees
  - f. Appoints all committee chairs and reviews selection of committee members
  - g. Coordinates or designates coordination of the Board evaluation of the performance of all contractual agencies (management, legal counsel, accountant and testing company) annually
  - h. Represents CBIC at approved liaison and other sanctioned public functions
  - i. Speaks as the sole voice of the CBIC Board
  - j. Reviews contract between CBIC and the Executive Director
3. Communication Responsibilities:

- a. External functions
  1. Acts as a liaison to APIC and IPAC Canada - Prepares the CBIC activities report for the IPAC Canada Board of Directors. Works with the CBIC liaison to the APIC Board of Directors to prepare the report on CBIC activities.
  2. Officially represents CBIC at meetings with APIC, IPAC Canada, IFIC, and various governmental agencies
  3. Develops liaison with other professional/governmental agencies
  4. Prepares and/or signs Presidential correspondence
- b. Internal functions
  1. Maintains effective communication with CBIC Board members
  2. Submits a written report of Presidential activities at each Board meeting, including the list of Executive Committee actions requiring Board ratification
  3. Coordinates an orientation of new Board members
  4. Ensures that CBIC activities are consistent with the approved Strategic Plan and Business Plan
  5. Facilitates the orientation of the President-Elect

### **2.3 Office of President-Elect**

Policy: Qualified Board members may be elected to the office of President-Elect beginning at the end of their first or second year in their initial term. Over the next three (3) years, this individual serves as President-Elect, President, and Past President, thereby extending their initial term to four (4) or five (5) years. If an individual serves as President during their first term on the CBIC Board, their service to the CBIC Board ends after serving their year as Past President; they are not eligible to apply for a second term on the Board. The President-Elect assumes the office of President in the event the President is unable to complete his/her term of office. The completion of that term will be followed by a one-year term as President.

Procedure:

1. Qualifications:
  - a. Shall be a Board member for at least one (1) year prior to assuming the position of President-Elect
  - b. Strong leadership and management skills
  - c. Strong communication skills
  - d. Knowledge of parliamentary procedures
2. Responsibilities:
  - a. Serves as a member of the Executive Committee
  - b. Chairs the Board meetings and Executive Committee meetings in the absence of the President
  - c. Assists the President in coordinating the orientation of new Board members at the winter Board meeting
  - d. Utilizes the term as President-Elect to familiarize him/herself with the operations of the Board
  - e. Serves as parliamentarian
  - f. Performs duties as directed by the President
  - g. Sets meeting dates for year of Presidency

### **2.4 Office of Immediate Past President**

Policy: The Immediate Past President provides support to the Board in decision-making and policy development.

Procedure:

1. Qualifications:
  - a. Completed a term as CBIC President
  
2. Administrative Responsibilities:
  - a. Serves as a voting member of the Board
  - b. Provides corporate history to enhance policy development and decision-making by the Board
  - c. Serves as liaison to the APIC Board of Directors
  - d. Chairs and/or serves on CBIC committee(s) at the discretion of the President; chairs the Strategic Planning Committee; serves as Chair of the ad hoc Policy and Bylaws Committee, and Judicial and Ethics Committee
  - e. Provides guidance when requested to the Executive Committee
  - f. Participates with the President in the coordination of the Board evaluation of the performance of all contractual agencies (management, legal counsel, accountant and testing company) annually
  - g. Submits the previous year's report to APIC for their winter Board meeting and submits the same report for the CBIC winter Board meeting

## **2.5 Office of Treasurer**

Policy: The Treasurer oversees the financial activities of CBIC. In conjunction with Executive Director and Accounting Staff of the Management Company, the Treasurer maintains financial viability for operational issues and review of investments in accordance with the Strategic Plan. The term for the Office of the Treasurer is two (2) years.

Procedure:

1. Qualifications:
  - a. Has served at least one (1) year on the CBIC Board of Directors
  
2. Responsibilities:
  - a. The Treasurer monitors financial transactions in collaboration with the Executive Director and Management staff in accordance with approved Operational Budget
  - b. The Treasurer monitors income by reviewing monthly statements and the general ledger
  - c. The Treasurer informs the President and Executive Committee regularly of the financial health of CBIC
  
3. Disbursements are reviewed by:
  - a. Quarterly budget impact of committee work
  - b. Expense vouchers in accordance with established policies
  - c. Signing checks for distribution to the Management Company and Testing Company
  - d. Monitoring and authorizing monies to be transferred to and from accounts and/or investments as approved by budget policies
  
4. Other duties:
  - a. Serves as Chair of the Budget and Finance Committee
  - b. Serves as a member of the Strategic Planning Committee and Executive

- c. Committee
- d. Assists Executive Director in developing the upcoming year's budget
- e. Works with the Auditor in assessing the annual financial condition of CBIC and ensures compliance with state and federal reporting requirements
- f. Maintains liaison with the Investment Advisor
- g. Communicates instruction related to investment instruments to the Executive Director and Accounting Staff per Board directions
- h. Supplies a Board-approved audited financial report to the CBIC President to be presented to the APIC President

## **2.6 Office of Secretary**

Policy: The Secretary provides secretarial support to the CBIC Board members.

Procedure:

1. Qualifications:
  - a. Has basic computer skills
  - b. Has been a Board member for at least one (1) year
2. Responsibilities:
  - a. Secretary shall be responsible for minutes in absence of the Executive Director
  - b. Assists the Executive Director with preparation of minutes by conducting the initial review
  - c. Reviews first draft of minutes prepared by the Executive Director
  - d. Ensures that the Task List is distributed to the Board within ten (10) business days after the meeting
  - e. Archives published materials by or pertaining to the organization.
  - f. Communicates with Executive Office to ensure their compliance with archived documentation
  - g. Serves as a member of Executive Committee and may serve on the Strategic Planning Committee

## **2.7 Public Consumer Director**

Policy: CBIC has a voting Public Consumer Director whose sole purpose on the Board is to represent the interest of consumers in healthcare relative to the certification of professionals in infection control and epidemiology. This position is consistent with the description of the "consumer or public member" described in the NCCA Standards for the Accreditation of Certification Programs.

Procedure:

1. Qualifications:
  - a. The Public Consumer Director is not a practicing professional in the field of infection control and epidemiology or engaged in a related profession or relationship with a professional in infection control and epidemiology, which may present a conflict of interest, such as an employer of an infection control and prevention professional.
  - b. Must annually be able to complete and sign form 1, (attached as policy addendum) Public Member Declaration as required by the NCCA. This declaration is made annually at the first Board meeting of the year when the Board completes their conflict of interest declarations. Completed public member declarations are filed with management services.



2. Responsibilities:
  - a. Attends Board meetings and functions as a voting public member with full Board privileges and responsibilities.
  - b. Participates on various committees and workgroups as deemed appropriate by the Chair and/or Directors
  - c. Ensures, to the extent practicable, that the mission, goals, objectives and activities of the Board are aligned with the interests of healthcare consumers by:
    - i. understanding that the role of the Public Consumer Director requires unbiased participation and representation of the consumer at large;
    - ii. attaining an understanding of the fields of infection control and epidemiology sufficient to fulfill the role of Public Consumer Director;
    - iii. evaluating options and providing input relative to impact on the end consumer;
    - iv. comparing consumer perceptions with Board intent and informing the Board of potential misalignment.
  - d. Brings diverse experience and expertise to the Board, in an attempt to “add value” to Board proceedings.
  - e. Assists the Board in promoting the value of the certification process to candidates and healthcare providers as deemed appropriate by the Board.

## **2.8 Committee & Committee Chair Responsibilities**

### Policy:

1. Committee Chairs and members are responsible for adhering to the policies and procedures listed in this manual and any definition of the committee’s responsibilities listed in the CBIC Bylaws.
3. Committee Chairs are responsible for assuring that the tasks and duties as assigned by the Board of Directors are completed, and that reports of activities and how activities are related to the strategic priorities set forth by the Board are provided to the Board at every meeting.
4. Committee Chairs are responsible for adhering to the annual operating budget as set forth by the Board of Directors and participating in the development of the annual budget.
5. Committee Chairs are appointed by the President-Elect for service beginning the following calendar year.

## **2.9 Executive Committee**

Policy: In accordance with the Bylaws, the Executive Committee is composed of the President, President-Elect, Immediate Past President, Treasurer, and the Secretary.

### Procedure:

1. The Executive Committee makes necessary decisions between Board meetings to insure the continuous functioning of the organization.
2. Executive Committee decisions made between Board meetings are listed and described as a separate standing agenda item for ratification at the following CBIC Board meeting.
3. With assistance of legal counsel, the Executive Committee negotiates the contract for management and testing services as required.

## **2.10 Strategic Planning Committee**

Policy: The Strategic Planning Committee ensures the Strategic Plan is consistent with CBIC's vision and mission and guides CBIC's activities to ensure consistency with CBIC's Strategic Plan. The Committee facilitates/coordinates the strategic planning process to plan strategies aimed at improving the overall certification process. The strategic planning process includes an assessment of the internal and external environment, which may affect the certification process. The NCCA Standards are used as a resource for the development/review/revision of the Strategic Plan.

Procedure:

1. The Strategic Planning Committee is comprised of the Executive Committee, Executive Director, and two additional members at-large appointed by the President, and is chaired by the Immediate Past President.
2. The Strategic Plan is reviewed and revised/updated to support the overall mission and vision of CBIC.
  - a. The organizational vision is a description of what CBIC should look like if it succeeds in implementing its strategies and achieves its full potential.
  - b. The mission is a statement of organizational purpose and an affirmation of why CBIC exists.
  - c. The plan is reviewed annually to:
    - assess Board activities related to strategic priorities and action plans;
    - identify impediments/obstacles;
    - evaluate strategies previously incorporated and/or add new strategies, which support the priorities.
  - d. Recommendations for revisions to the plan are made by the Chair of the Strategic Planning Committee.
3. The strategic priorities of CBIC are long-term directions for development. The strategic priorities are the basis for decisions regarding the nature, scope and priorities of projects and activities. Strategic priorities are developed by the full CBIC Board and operationalized by the Committee Chairs.
4. Strategic priorities are attained by meeting measurable objectives or strategies. CBIC budgets resources for projects based on the impact the project will have in accomplishing the strategic priorities.
5. Additional project funding requests and/or budget variances that are not currently aligned to the Strategic Plan are referred from the Budget and Finance Committee to the Strategic Planning Chair to assess whether the request(s) are consistent with the vision and mission of CBIC and to consider incorporating the objective into the Strategic Plan.

## **2.11 Budget and Finance Committee**

Policy: The Budget and Finance (B&F) Committee facilitates development of the financial plan based on an assessment of needs of CBIC. The B&F Committee provides oversight for the efficient utilization of funds, as recommended by the Treasurer. The B&F Committee is responsible to present a budget in fall/winter of the current year for the following year consistent with the Strategic Plan.

Procedure:

1. The B&F Committee is comprised of the Treasurer (Chair), President, President-Elect, Strategic Planning Committee Chair, and an at-large Board member. The Executive Director serves as an ex-officio member. Accounting staff from the Management Company are responsible for financial reports.

2. The Committee meets as needed via conference call to review recent financial activity including investments, administrative and governance expenses and revenue projections. The Treasurer receives monthly electronic reports from the Executive Director.
3. The Committee reviews and approves (at least quarterly) budget variances incurred by CBIC members and the Executive Director. If necessary, variances are forwarded to Executive Committee for final disposition.
4. The Committee reviews projected budgets to ensure funds are available for CBIC committees and/or task forces that support the Strategic Plan.
5. The Committee meets with the Financial Advisor for Investments via conference call to review the status of portfolio at least quarterly. The Committee ensures that rebalancing of the portfolio is discussed and implemented – when appropriate – annually.
6. The Committee reviews and recommends an Investment Policy annually.
7. The Committee reviews the need and recommends credit cards for use by the Executive Director.
8. The Committee reviews the authority for check signing by CBIC members and/or Management Company annually.
9. The Committee reviews and approves the budget for the upcoming year in the fall of the preceding year. The committee sends the draft budget for Board approval by end of calendar year.
10. The Committee reviews the annual audit prior to presentation to the Board of Directors at their summer Board meeting. A review is conducted with the external auditor to answer questions and/or to highlight anomalies.

## **2.12 Test Committee**

Policy: The Test Committee directs and coordinates, in conjunction with the Testing Company, all activities related to the development of all tests offered by CBIC including but not limited to the proctored initial certification examination, the entry-level certification and the self-paced recertification examination.

### Procedure:

1. The Test Committee includes, at any given time, up to sixty (60) members. Test Committee members are added every year as needed and each serves a term of three (3) years. Members are selected by Test Committee leadership in partnership with the CBIC Executive Committee after review of applications and interviews. When possible, a CIC® practicing internationally (outside the United States) should be included as a Test Committee member. All Committee members must review and provide a declaration of conflicts of interest prior to each meeting and abide by CBIC provisions to maintain test security.
2. Leadership of the Test Committee includes a Chair and two Co-Chairs. These positions are held by active Board members.
  - a. The Chair is appointed by the President and leads the CIC and recertification examinations.
    - i. The Chair serves for one (1) year.

- b. The Co-Chairs are appointed by the President and President-Elect. Co-Chairs lead the a-IPC and LTC-CIP examinations. The current Test Committee Chair and Co-Chairs may make recommendations and assist in the process at the discretion of the current President.
3. Duties of the Test Committee Chair and Co-Chair include:
  - a. Review of:
    - i. Applications for selection to the Test Committee.
    - ii. Test Committee meeting agendas at least five (5) working days prior to the meeting.
  - b. Approval of materials used to orient new Test Committee members.
  - c. Provision of reports of activity to the Board at each Board meeting.
  - d. Review of CBIC style guide and item writing references.
4. CIC<sup>®</sup> and LTC-CIP certified Board members in the first year of their first term, when possible, are to attend the Item Writing Workshop. CIC<sup>®</sup> and LTC-CIP certified Board members in the second year of their first term, when possible, are invited to attend the Item Review Workshop, and if they choose not to participate in Item Review, will be assigned to Form Review.
5. The Test Committee Chair and Co-Chairs are assigned to attend the Form Review meeting of the Test Committee. This policy allows all Directors, with the exception of the Public Consumer Director, to attend at least one Test Committee meeting during their term. The three Directors who attend the Form Review meeting are also assigned to the Exam Advisory Committee, as described in Section 1, Category 2.12.2.
6. Some of the Committee work is conducted outside of formal meetings to include: item bank review, proofing and approving of examination forms and review of candidate comments.
7. Specific responsibilities and functions of Test Committee are established by contract with the Testing Company, development of an annual timeline of test development activities established by signed agreement with the Testing Company, and CBIC policy Section 2, Category 2.0.
8. Workshops may be held remotely as needed with any group of subject matter experts. In addition, Test Company staff may be called upon to provide instructions on item writing and other aspects of test development to the Board and Test Committee as needed.
9. A call for applications is sent to all current CIC<sup>®</sup> and LTC-CIP certified individuals for whom contact information is current at an appropriate length of time prior to the end of the year.
10. Copies of the applications and a score sheet are provided to the Test Committee Chair and Co-Chairs by CBIC staff. The incoming Co-Chair may also be utilized in this process.

11. The Test Committee Chair and Co-Chairs review the applications in partnership with the Executive Committee. Interviews are conducted by the Test Committee Chair and Co-Chair.
12. The Test Committee Chair alongside the Certification Program Manager makes meeting assignments for the year.
13. The Executive Office sends letters of congratulations to the selected committee members and informs them of their assigned meetings as well as the dates of any remote trainings to be held by the Testing Company. All Non-Board committee members are required to sign and return the Conflict of Interest/Non-Disclosure Agreement form before participating in any Test Committee meetings or trainings.
14. In compliance with the NCCA Standards, non-Board Test Committee members are not eligible to recertify by either the recertification examination or continuing education for two (2) years after their term on the Test Committee ends. Non-Board Test Committee members may be eligible to recertify beginning on January 1 of the third year after they rotate off of the Committee.
15. CBIC staff updates the certificant database to reflect the updated expiration date.
16. The composition of the Test Committee can be periodically evaluated to ensure that there is a proportional distribution of both new and experienced Committee members. If a disproportionate amount of experienced Committee members are due to complete their term in the same year (defined as greater than or equal to 50% of the Committee) a number of Experienced Test Committee members may be selected to serve an additional year of their term in order to ensure that vital knowledge and experience can be passed on to new Committee members. This must be discussed with the Executive Committee on a case-by-case basis.

#### **2.12.1 Exam Advisory Committee**

Policy: The Exam Advisory Committee (EAC) is made up of the CBIC President, President-Elect, Immediate Past President, and the Test Committee Chair. The Exam Advisory Committee is responsible for reviewing, discussing, and making decisions on certification issues as they arise during the year.

Procedure:

1. Certification issues are sent to the Exam Advisory Committee via email by the CBIC staff. Issues to be reviewed include appeals for examination challenges, testing center complaints, appeals regarding eligibility and other adverse certification decisions, and other issues as they arise.
2. Exam Advisory Committee reviews submitted documentation, discusses and compares to existing CBIC policies and NCCA Standards, and comes to a collective decision regarding each certification issue within ten (10) business days of receipt. If a delay is expected, CBIC staff will notify applicant of the revised timeline.

3. CBIC staff sends an official response on behalf of the EAC to the applicant who submitted the certification issue as an email attachment.

### **2.13 Policy and Bylaws Committee**

Policy: Ensures all policies are consistent with the Bylaws, the Strategic Plan and NCCA Standards. Reviews suggested/proposed Bylaws amendments and submits recommended changes to the Board of Directors. Annually reviews the Bylaws and, with the Chair of the Strategic Planning Committee, reviews the Strategic Plan with particular reference to the organization's mission and purpose. Coordinates any changes to Bylaws as needed. This Committee is ad hoc, is chaired by the Immediate Past President, and consists of members of the Executive Committee. It convenes as needed during the year.

Procedure:

1. Facilitates the annual review of the CBIC Policy and Procedure Manual and makes appropriate revisions as directed by the Board and recommends the development of and/or revisions to policies.
2. The Chair of the Policy and Bylaws Committee reports on the annual review of the Manual at the Winter Board meeting.
3. Submits all new and revised policies and procedures to the CBIC Board for review and approval at the winter Board Meeting.

### **2.14 Marketing Committee Chair**

Policy: The Marketing Committee Chair oversees the marketing activities of CBIC. The Chair works closely with the Executive Office to achieve the goals as presented in the marketing plan.

Procedure:

1. Qualifications:
  - a. Strong communication skills
  - b. Has impressive creative ideas
  - c. Serves as a Board member for one year prior to assuming position
2. Responsibilities:
  - a. Serves as a link between the Executive Office and the Board to ensure the achievement of marketing goals
  - b. With the Executive Director and Certification Program Manager, facilitates the activities of the CBIC Board during the APIC National Conference as they relate to CBIC booth assignments and when indicated, attends and presents information on CBIC certification at the Section and Focus Group meetings. The Marketing Committee Chair's attendance at the APIC National Conference is included in the annual CBIC budget.
  - c. With the Executive Director, and CBIC President, determines the CBIC activities to occur during the IPAC Canada conference and International Federation of Infection Control Conference (IFIC).
  - d. Ensures the website content is current.
  - e. Assists in the development of marketing goals.
  - f. Is involved in the assessment and selection of promotional items for sale to certificants and evaluation for continuance.
  - g. Works with the Executive Director to monitor marketing expenses.

#### **2.14.1 Marketing Committee**

Policy: Marketing activities are implemented as budgeted with the overall goals of informing potential certificants about the program, encouraging application from qualified individuals, encouraging recertification, and informing key stakeholders-(employers, supervisors, institutions, agencies, associations, and others) about the certification program.

Procedure:

1. Executive Staff drafts and implements an annual marketing plan prior to budget development for the coming year. The marketing plan includes goals, targeted audiences, and how those audiences will be reached. Depending on specific needs, it may be further refined after budget approval to include timeframes or more specific information. The Board approves the marketing initiatives in the context of budget approval.
2. Executive Staff implements the marketing plan in conjunction with the Marketing Committee Chair (see above). The marketing plan may include publications, advertisements, press releases, publication relations activities, direct mail, exhibiting, internet communications, a web site, products, collaborative efforts with other groups (i.e., APIC and IPAC Canada) and other techniques to meet the overall goals.

## **2.15 Nominating Committee**

Policy: The Nominating Committee reviews all submitted CBIC Board applications and participates on any APIC NAC conference call and in-person meetings.

Procedure:

1. The Nominating Committee is composed of the President-Elect, the Immediate Past President and at least one additional Board member. The additional Board member cannot be eligible for re-election to the CBIC Board. In the event that a conflict of interest arises for a member of the Nominating Committee, an alternate can be named and approved by the Executive Committee.
2. APIC receives all CBIC Board applications. Copies of all CBIC Board applications are sent to the Nominating Committee. The Nominating Committee reviews all CBIC Board applications.
3. The Nominating Committee selects individuals to nominate to serve on the CBIC Board.

## **2.16 IPU Advisory Committee**

Policy: The IPU Advisory Committee is made up of the President, Past President, and up to two (2) additional Board members. The IPU Advisory Committee is responsible for reviewing, discussing and making decisions on IPU portfolio issues, inquiries, and appeals as they arise during the year.

Procedure:

1. IPU portfolio issues are sent to the IPU Committee via email by CBIC staff. Issues to be reviewed include inquiries on accepted IPU activities, accreditation, verification documentation issues, appeals on portfolios that have not been accepted, and other issues as they arise.
2. IPU Advisory Committee reviews submitted documentation, discusses and compares it to existing CBIC policies, and comes to a collective decision regarding each

portfolio issue within seven (7) business days of receipt.

3. CBIC staff drafts a response from the IPU Advisory Committee. After the official response is approved, CBIC staff sends it to the candidate who submitted the IPU issue as an email attachment.

## **Section 1, Category 3 Member Organizations**

### **Category 3.0 Functional Relationships with Membership Organizations**

#### **3.1 APIC as Sole Member of CBIC**

Policy: CBIC maintains a relationship with the Association for Professionals in Infection Control and Epidemiology, Inc. (APIC), which is the sole member of the corporation.

1. CBIC Bylaws establish APIC as the sole member of the organization with all rights as sole member as specified in the CBIC Bylaws.
2. CBIC is administratively and financially independent of APIC.
3. Communication lines are formally established and maintained via a liaison relationship.

Procedure:

1. CBIC's order of business does not conflict with those rights established for APIC as the sole member of the organization.
  - a. APIC collaborates with CBIC to nominate the CBIC Board of Directors (See Policy 1.1 Nominations and Selection of CBIC Board of Directors).
  - b. Revisions to specified sections of the CBIC Bylaws (Article III) must be authorized by written assent of APIC.
  - c. Transfer of membership is not permitted.
2. CBIC conducts business administratively independent of APIC.
  - a. Powers of corporation are independently exercised.
  - b. Property and financial matters are independently conducted.
  - c. Business affairs are independently determined and executed.
  - d. Matters of certification are independently administered.
3. The CBIC President or designee represents CBIC at the APIC annual educational conference for invited functions/activities, as approved by the CBIC Board of Directors. These activities may include:
  - a. both formal and informal meetings or gatherings of:
    - Conference participants
    - APIC Board of Directors
    - Committees, focus groups, or other structured gatherings
    - Social events (e.g., receptions, luncheons)
  - b. CBIC informational forum or educational session.
  - c. Conference session and event attendance.
4. Communication and collaboration with professionals in the field of infection prevention and control is established and maintained by:



- a. Requesting participation of APIC members on committees, task force or working groups as needed.
  - b. Submitting articles and information including research related to the certification process to APIC publications.
  - c. Fostering open communication pertaining to projects, information or business matters of mutual interest or benefit through the APIC Liaison, APIC President, APIC CEO, APIC publications or other avenues as appropriate.
  - d. Honoring APIC invitations to participate on committees, task forces, working groups etc., as deemed appropriate or feasible by the CBIC Board of Directors.
  - e. Appointing a liaison to the APIC Board of Directors to represent CBIC and report to the CBIC Board on APIC activities.
    - i. The CBIC President encourages and fosters working relationships with the professional association on all projects or topics of mutual interest or benefit.
    - ii. Participation in APIC activities are delegated by the CBIC President with Board approval when necessary.
    - iii. Potential conflicts of interest are evaluated in accordance to established policy.
    - iv. Fiscal responsibility is determined with appropriate budget allocations made or budget variances applied for.
5. CBIC sponsors the CBIC President or designee to attend the annual APIC educational conference.
6. CBIC fosters communication and seeks input for strategic positioning as appropriate to professionals in the field of infection control through interaction with the professional organization.

### **3.2 Liaisons to the CBIC Board**

Policy: CBIC maintains both an APIC & IPAC Canada liaison.

Procedure:

1. Approximately one month prior to each CBIC Board of Directors meeting, a request is sent from the CBIC office to Board liaisons (i.e., APIC and IPAC Canada) requesting a written report which provides general updates from their respective organizations and information which is relevant to CBIC.
2. If needed to provide additional clarification on a written report, either the Board or the liaisons may request time on the CBIC Board of Directors meeting agenda for a brief virtual presentation/discussion.

### **3.4 International Federation of Infection Control (IFIC)**

Policy: CBIC maintains membership in the International Federation of Infection Control (IFIC).

Procedure:

1. IFIC membership dues are a recurring annual expense on the CBIC operating budget.
2. The CBIC President serves as the CBIC liaison to IFIC.
3. The CBIC President attends the Annual General Meeting of IFIC when appropriate. Expenses associated with the attendance are included in the annual CBIC budget.

## **Section 1, Category 4 Professional Memberships**

### **Category 4.0 Professional Memberships**

#### **4.1 National Commission for Certifying Agencies (NCCA)**

Policy: CBIC maintains accreditation by the NCCA to provide consistency of the CBIC certification process with standards established by the NCCA.

Procedure:

1. NCCA membership dues are a recurring annual expense on the CBIC operating budget.
2. The Strategic Planning Committee reviews the NCCA standards. This review is performed annually to ascertain that the tactics of the CBIC Strategic Plan are in compliance with NCCA policies and procedures.
3. As directed by the CBIC President, CBIC annually completes and submits to NCCA any information requested on the current status of the certification organization and its program.
  - a. As required by NCCA, CBIC advises NCCA of any change in purpose, structure or activities of the certification organization or program; any substantive change in examination administration procedures; or any major changes in examination techniques or in the scope or objectives of the examination.
  - b. CBIC submits to the NCCA any information it may require to investigate allegations of lack of compliance with NCCA standards.
  - c. CBIC submits to routine re-evaluation by the NCCA at intervals of five (5) years. NCCA provides requirements for documentation to submit for re-accreditation in the year prior to expiration.

#### **4.2 Institute for Credentialing Excellence (ICE)**

Policy: CBIC maintains membership in the Institute for Credentialing Excellence (ICE) to 1) obtain information pertinent to certifying bodies; 2) influence issues of concern or importance to certifying agencies through partnership with collective organizations; 3) network with like organizations and; 4) gain recognition for CBIC among other certifying bodies.

Procedure:

1. ICE membership is budgeted in the CBIC annual operational budget.
2. CBIC Executive Office receives and distributes ICE information to the CBIC Board of Directors.
3. The CBIC designees' attendance at the annual ICE conference is funded by CBIC. This typically includes, but is not limited to, Test Committee Chair, President-Elect, and Executive Director.
4. A summary of the information presented at the ICE conference is presented to the Board of Directors at the next meeting.

## Section 2, Category 1 Professional Management

### 1.1 Information and Data Management

Records are maintained and information tracked as outlined in these policies.

#### 1.1.1 Record Retention Policy

Policy: Physical archives are maintained at the CBIC Executive Office.

Procedure:

- Records are maintained for the minimum periods listed below. These periods may be lengthened for any business or practical considerations. The Executive Staff and Board evaluate other storage options on an ongoing basis as space and financial resources require. Once the retention period has been reached, physical documents are shredded, and any electronic documents are deleted from the cloud.

Item	Retention period
articles of incorporation	permanent
Bylaws	permanent
Policies	permanent
Board meeting minutes	permanent
audit reports	permanent
cash disbursements journal	permanent
cash receipts journal	permanent
annual financial statements	permanent
general journal or ledger	permanent
candidate handbook	permanent
certification examinations and exam keys	permanent
candidate certification results	permanent
candidate applications	permanent
candidate merchandise and extension orders	permanent
Board members' curricula vitae	seven (7) years
lists of passing and failing candidates with scores (in CBIC database without score data)	permanent
tax returns	permanent
copyright, certification mark registration	permanent
Contracts	as long as the other party may sue under it; if unspecified ten (10) years
legal claims and litigation files	ten (10) years
bank statements and reconciliations	seven (7) years
canceled checks	three (3) years
eligibility waiver applications	seven (7) years
communication regarding misuse of credentials	seven (7) years
self-improvement program records	seven (7) years
publications: articles	permanent

publications: advertisements, other regarding CBIC	seven (7) years
Board binders (agenda materials, Board and committee reports, other materials for meetings)	seven (7) years
sample letters notifying candidates of recertification requirements (letter to new and recertified CICs)	seven (7) years
application verification audits	seven (7) years
insurance policies	permanently
insurance claims	six (6) years
accident reports	six (6) years
correspondence relevant to an individual's next recertification	six (6) years or until one (1) year past recertification year
bank deposit slips	three (3) years
depreciation records	permanently
interim/internal financial statements	three (3) years
inventory lists	three (3) years
Invoices	three (3) years
committee meeting minutes	three (3) years
budgets	two (2) years
general correspondence	two (2) years

**1.1.2 Board Meeting Minutes**

Policy: Minutes are kept of all Board meetings.

Procedure:

1. CBIC staff takes and prepares Board meeting minutes unless otherwise agreed. If emergency circumstances prevent staff from recording minutes, the Secretary will do so.
2. Within thirty (30) days of the last day of the meeting, staff sends a draft to the Secretary and President to review for accuracy.
3. Within thirty (30) days of receipt, the Secretary and President return any changes.
4. After changes are received the revised draft copy is sent to the Board, generally in electronic format.
5. Minutes are approved at the following Board meeting.
6. After approval, final copies are provided to Board members.

**1.2 Financial Management**

Policy: In consultation with the Treasurer, the Management staff implements financial decisions of the Board (e.g. budgets and investment policies).

Procedure:

1. Accounts payable are processed weekly by the staff, including approval by the Executive Director of all expenditures. Budgeted expenses are approved, and discrepancies discussed with the Treasurer and/or relevant Board members as needed. Reimbursements to Board members and other meeting attendees (i.e., liaisons, staff, Testing Company personnel, legal counsel, auditor, or other professional participants) are also approved by the Treasurer or meeting chair.
2. Staff implements the investment plan in consultation with the Treasurer.
3. Staff provides requested information to the auditor.

### **1.2.1 Investment Policy**

Policy: CBIC investment strategy is to emphasize return. The objectives in the investment management of assets are:

1. Preservation of capital – To minimize the probability of loss of principle, emphasis is placed on minimizing return volatility rather than maximizing total return.
2. Liquidity – To ensure the ability to meet all expected or unexpected cash flow needs by investing in securities which can be sold readily and efficiently.

Procedure:

1. Investments are made according to CBIC Statement of Investment Guidelines.
2. The B&F Committee oversees the selection of the Investment Advisor and the investment process.
3. The Treasurer provides updates on investments to CBIC as directed.
4. The Investment Advisor (or designee) reports (in writing) at least annually to the CBIC Board. This report includes recommendations for new investments and rebalancing strategy for the portfolio.

### **1.2.2 Product Sales**

Policy: CBIC may sell products promoting examination designations or recognizing achievement of the CBIC credentials. These are promoted and sold as budgeted annually.

Procedure:

1. The proposed marketing plan for the year includes recommendations for continuing to sell current products and whether to develop any additional products.
2. In approving the annual budget, the Board approves product initiatives.
3. Products may be promoted and sold in several ways as budgeted.

4. Unless agreed otherwise in the budgeting process, product sales are intended to be self-supporting. Sales revenue covers all development, inventory, promotion, fulfillment, and management costs.
5. Within reason, the cost of products is refunded in full to individuals dissatisfied with their purchase.

#### **1.2.4 Credit Cards**

Policy: CBIC has introduced the corporate credit card as an alternative approach to purchasing business-related products and services. In order to facilitate best business practices, the following policy sets forth instructions and guidance on the use and responsibility for the corporate credit card. These policies and procedures apply to everyone involved in the operation, supervision, management and administration of CBIC's corporate credit cards for the acquisition of goods and services.

- The credit card does not replace the normal purchasing procedures, but is used in instances where it is not advantageous or cost effective for CBIC to make a payment by any other methods.
- CBIC's credit card is for business purpose use only. Cardholders may not, under any circumstance, use the credit card for personal purchases, or for guaranteeing any type of personal reservation (hotel, rental cars, etc.), or for any other non-business use.

Procedure:

1. Credit cards are issued at the discretion of the Executive Committee to the Executive Director as the designated cardholder for the organization. Credit cards may also be issued to the President and Test Committee Chair, if they so choose.
2. The Executive Director possesses the credit card for the purpose of making authorized purchases on the behalf of CBIC. All authorized users are required to submit original receipts for every credit card payment.
3. The corporate credit card remains the ownership of CBIC and may not be transferred to, assigned to, or used by anyone other than the designated cardholder.
4. The Board may suspend or cancel the cardholder privileges at any time for any reason. The cardholder surrenders the credit card upon request.
5. Cardholders must use the card responsibly and in accordance with this policy. It is the cardholder's responsibility to obtain transaction receipts from the merchant each time the credit card has been used to purchase goods and services. If the cardholder permitted other staff members to use the credit cards for approved purchases; it is the cardholder's responsibility to obtain from the staff members a receipt for the charge. The cardholder must reconcile all charges and receipts with the monthly credit card statement and attach the receipts to the monthly credit card statement before submitting it to the accounting department for payment. The monthly credit card statement must be submitted to the accounting department in a timely manner to get paid prior to the payment due date.

6. It is the cardholder's responsibility to follow-up on any erroneous charges, returns or adjustments to ensure proper credit is given on subsequent statements.
7. The credit card is valuable property that requires proper treatment by the cardholders to protect it from misuse by unauthorized parties. The cardholders must sign the credit card immediately upon receipt. The cardholders must keep the card in an accessible, but secure location. When using the credit card for internet purchases, the cardholder should ensure that the site utilizes industry recognized encryption transmission tools.
8. When the expiration date is passed and/or after the cardholder has received a new credit card, it is the cardholder's responsibility to dispose of it in a secure manner.
9. If the credit card is lost or stolen, it is the cardholder's responsibility to contact the bank's 24-hour toll-free number immediately.
10. The Treasurer receives a complete copy of the monthly credit card statement and all documentation for their review to guarantee compliance with credit card policy prior to their approval for payment.
11. The Board performs periodic analysis to examine the continued need for the cards, and the nature and type of purchases being made.

### 1.2.5 CBIC Capitalization Policy for Fixed Assets

- I. **Definition and Threshold:** Capital purchases comprise furniture, fixtures, equipment, software, leasehold improvements, etc. that meet two criteria:
  - a. a useful life of more than one (1) year, and
  - b. costs more than a certain amount.

The CBIC Board of Directors has established \$3,000 as the threshold amount for capitalization.

- II. **Recordkeeping:** CBIC shall maintain a list of fixed assets showing the date of the acquisition, its cost, and a schedule for depreciation of the asset. CBIC shall keep on file documentation for each purchase. The annual depreciation expense will be included in CBIC's annual operating budget. For each purchase, the Executive Director shall evaluate whether the acquisition will have an impact on insurance coverage, determine if present coverage valuations are adequate, and obtain additional coverage if necessary.
- III. **Accounting Methods:** CBIC will record all fixed assets at cost. All fixed assets will be depreciated over the estimated useful lives of the assets using the straight-line method. The Executive Director, in consultation with the CBIC accountant and Budget & Finance Committee, has the responsibility to estimate useful lives and residual values of depreciable assets.

### 1.3 Contract Signing Process

Policy: The President is authorized to sign contracts such as management contracts, legal counsel contracts, auditor contracts, and testing agency contracts, and the President will review all contracts with the Executive Committee and/or the Board prior to signing. The President may seek the advice of legal counsel where appropriate. The Executive Director is authorized to sign such contracts as hotel contracts and other vendor contracts.

### **1.3.1 Requests for Proposals**

Policy: If a contract is being sought for services that exceed \$5,000, the Executive Director is required to send requests for proposals to prospective vendors to ensure that CBIC will pay the most appropriate cost for the service being requested and provided.

## **Section 2, Category 2 Professional Test Development**

### **Category 2.0 Professional Test Development**

The Testing Company provides professional psychometric services for CBIC. The CBIC President, Test Committee Chair and Executive Director share the responsibility to oversee fulfillment of the Testing Company responsibilities. A collaborative relationship exists between the CBIC Board and the Testing Company staff. These groups work together to implement CBIC programs. In general, the volunteer members of the Board provide leadership direction and determine policy. Staff implements programs of the organization and supports all Board activities other than those contracted with the Testing Company or other entities. The Testing Company provides support and direction: to conduct the Practice Analysis; determine the cut score and equate the cut score for each administration; develop test items to maintain item banks as per testing standards; assemble a test form per specifications of the content outline; contract for test administration sites and proctors to establish an appropriate testing environment; conduct statistical item and test performance analysis; score and establish a pass/fail database for each test administration; maintain security of the item banks and test forms; and advise CBIC relative to practices and standards of the testing industry.

### **2.1 Contract**

Policy: Professional psychometric services are arranged by contract with a Testing Company.

Procedure:

1. The Executive Director reviews the contract with the Testing Company annually. The President updates the Board at the first meeting of the year regarding the status of the contracts.
2. The current contract defines responsibilities of the Testing Company and CBIC and establishes a timeline to perform services as mutually agreed. Separate contracts are established for the proctored recertification examination and the online recertification examination. The extent of services and what projects that will be applied are addressed as part of the budgeting process.

### **2.2 Accountability/Responsibility**

Policy: The Testing Company is responsible to the Board of Directors for the quality of its work.



Procedure:

1. The Testing Company provides designated personnel to manage various aspects of the testing services and communicates appropriate contacts to the President, Test Committee Chair, and Executive Director. These personnel communicate as needed with the Test Committee Chair, President, and Executive Director to ensure that services are delivered as negotiated.
2. A formal evaluation of services is conducted annually.

### **2.3 Test Committee**

Policy: The Testing Company's psychometric and test development staff provides support for the Test Committee, Practice Analysis Task Force, CBIC and ad hoc committees or working groups as budgeted.

Procedure:

1. Expenses associated with ongoing maintenance and test form development and projected revenue from the administration of the certification and self-assessment examinations are an integral part of budget development.
2. The Strategic Plan, annual budget and annual planning calendar identifies projects requiring Testing Company support in addition to those services included in the basic contracts.
3. The Test Committee Chair is the primary contact for the committee's work and will be responsible for day-to-day activities of test development and analysis.
4. CBIC staff contacts the Test Committee Chair shortly after appointment to discuss meeting plans for the year.
5. CBIC staff coordinates all meeting planning activities arranging for needed services.
6. The Testing Company staff attends and supports the activities of the Test Committee meetings.
7. The Test Committee Chair is responsible for committee meeting agenda, minutes and/or committee reports.

### **2.4 Communication**

Policy: Communication between the Test Committee Chair and members, the CBIC President, the CBIC Directors, the Testing Company and CBIC staff, and the Executive Director is necessary to ensure that goals are being met and that the work in progress does not conflict with other organizational priorities or changes.

Procedure:

1. The Test Committee Chair plans committee work in accordance with the Strategic Plan and direction of CBIC.

2. The Test Committee Chair completes a detailed Board report prior to each Board meeting.
3. Depending on the nature and needs of the committee, periodic conference calls or other communication mechanisms may be budgeted and are arranged through the staff liaison.
4. The Test Committee Chair, President and Executive Director communicate as needed throughout the year to assure the smooth operation of the organization. This communication may take place by phone, e-mail, and other means as mutually agreed upon and/or as needed.

## **2.5 Practice Analysis**

Policy: CBIC conducts a Practice Analysis or an equivalent methodology by testing industry standards to establish examination content validity every five (5) to six (6) years. Projected expenses are amortized over the cycle.

### Procedure:

1. Perceived changes in the field are evaluated during strategic planning sessions on an annual basis, to determine if a Practice Analysis is indicated in advance of the determined interval.
2. Communication with the Testing Company begins no later than one (1) year in advance of a Practice Analysis to establish a contract for services.
3. The Testing Company provides an overview of current testing standards relative to establishing content validity and recommends a methodology most appropriate for the examination to the Test Committee. The Test Committee conducts further investigation and review and presents a proposal to CBIC.
4. The Test Committee and CBIC evaluate the need to revise the definition of practice and minimum practice experience in relation to professional standards and recommendations for the field.
5. The Test Committee and CBIC evaluate if there is a need to conduct a Practice Analysis for specific areas, levels of practice, or type of examination.
6. The Test Committee and CBIC, with assistance of the Testing Company, determine the number of respondents necessary to adequately represent the practicing field.
7. The Executive Director negotiates the contract with the Testing Company with recommendations from the CBIC Test Committee, Practice Analysis Chair, and CBIC President.
8. The contract with the Testing Company outlines the specific steps and specifications of the Practice Analysis consistent with recommended parameters established by current standards in the testing industry. The contract specifies the process for: development of a task list; development of a survey instrument; development of a scale to rate task

significance/importance; identification of practitioners from which to obtain a random sample; demographics to apply exclusion criteria/rules; exclusion criteria/rules; “blueprint” for the content outline to include determination of content weight and cognitive levels; and determination of the cut score.

9. A detailed timeline for conducting the Practice Analysis is outlined.
10. A Practice Analysis Task Force representing diversity in geographic location, professional discipline, practice settings, and experience is assembled. It is recommended to include individuals involved in previous Practice Analyses and past Test Committee members. The Practice Analysis Task Force will be chaired by a Board member who had previously participated on the Test Committee.
11. Results of the Practice Analysis determine a new content outline for the proctored recertification examination, which is also used for the online recertification examination, unless the research dictates that a different content outline would be appropriate. Item pool conversion is done to relate items to the new outline, to delete items for rejected tasks, and to identify items that are needed for new content areas. A new cut score study is conducted following each Practice Analysis.

## **2.6 Use of Practice Analysis Data**

Policy: Results of the Practice Analysis are communicated to the profession through publication, presentation and correspondence. All material in the Practice Analysis is CBIC property to be published under CBIC domain.

### Procedure:

1. First authorships on Practice Analysis publications are restricted to CBIC or Practice Analysis Task Force members. With prior permission from the Test Committee and Practice Analysis Chairs, a member of the Testing Company may also be listed as the first author.
2. Authorship on publications derived from Practice Analysis data is not confined exclusively to CBIC or Practice Analysis members.
3. Authorship of publications derived from the current Practice Analysis data includes the names of the Practice Analysis Committee/Task Force on data analysis.
4. All requests for access to Practice Analysis data are submitted to the CBIC Executive Office. Requests are then approved by the current CBIC President/Executive Committee.
5. Costs associated with fulfilling external requests for use of the Practice Analysis data are determined by CBIC at the recommendation of the Test Committee. Payment of these costs is the responsibility of the requester.

## **2.7 Item Development, Review, and Banking**

Policy: CBIC allocates adequate funds to develop and maintain a proctored computer-based test item bank sufficient to provide for the development of two scored test forms annually that meet the specifications of the content outline. CBIC allocates adequate funds to develop and maintain a test item bank for the online recertification examination sufficient to provide for the development of a revised form meeting the specifications of the current content outline every two (2) to three (3) years. CBIC allocates adequate funds to develop and maintain a test item bank for the a-IPC and LTC-CIP examinations to provide for the development of a revised form meeting the specifications of the current content outline every other year.

Procedure:

1. New items created by the Test Committee are added to the item bank in “review status.”
2. The Test Committee serves as the content experts and is responsible for finalizing review items to place into the active test pool. Items must be approved by agreement of the committee to place in the pool of items available for pretesting as unscored items.
3. The Testing Company is responsible for assuring that questions are in appropriate format and meet recommendations/guidelines of the testing industry.
4. The Testing Company is responsible for entering items into the item bank, including category and other relevant information relative to the item, and maintaining performance statistics on each item.
5. Items must be referenced. References are maintained in the item bank database, but are not published.
6. A pool conversion of all items in the item banks is done for each new content outline developed as the result of a new Practice Analysis.

## **2.8 Examination Development for Proctored Computer-Based Testing**

Policy: Test forms are reviewed and revised annually for the proctored CIC®, a-IPC, and LTC-CIP for computer-based testing. The procedures described below provide general guidance and are followed, unless improvements to the psychometric integrity of the examination program are specified through the agreement with the Testing Company.

Procedure:

1. The Testing Company conducts an in-person or remote Item Writing Training and Writing Workshop with the Test Committee to write new examination items for use on the new examination forms. In the case of remote item writing, a training webinar for all item writers will be conducted by the Testing Company staff, and then assignments and deadlines will be given out and managed by the CBIC staff and the Test Committee Chair and Co-Chair. A minimum of seven (7) subject matter experts (SMEs), all members of the Test Committee, will attend this meeting. This group should be comprised of a mix of experienced SMEs with those new to item writing, and should include at least one CIC® certified and LTC-CIP certified Board member. CIC® and LTC-CIP certified Board members in the first or second year of their first term are encouraged to attend this meeting when possible.

2. The Testing Company conducts an in-person or remote Item Review and Approval Workshop, to be held after the Item Writing Training and Writing Workshop. A minimum of seven (7) SMEs, all members of the Test Committee, will review items for relevance and accuracy. This group should be comprised of a mix of experienced SMEs with those new to item writing, and should include at least one CIC® and one LTC-CIP certified Board member. Participants in this workshop cannot have written any items that are up for review.
3. The Testing Company conducts an in-person or remote Form Review Meeting. A minimum of five (5) SMEs, including the Test Committee Chair, Co-Chair, and three other CIC® certified Board members for the CIC® and a-IPC examinations and at least one LTC-CIP certified board member for the LTC-CIP examination, will evaluate the items on the exam form to eliminate issues such as cuing and bad pairs. Participants cannot have participated in item writing or review for items on the form being reviewed.
4. Following completion of a final review by the Test Committee leadership, test forms are approved. Quality control procedures are conducted by the Testing Company and the completed test forms are made available in the Testing Company Assessment Center Network for test administration.
5. For the CIC® and LTC-CIP examinations, the Testing Company selects two (2) examination forms consisting of 150 multiple-choice items, including 15 pre-test items, unless the Practice Analysis results specify otherwise. The Testing Company develops up to four (4) sets of 15 pre-test items and incorporates them with the scored forms to create four (4) alternate forms for review and approval of the Test Committee.
6. For the a-IPC examination, the Testing Company selects one (1) examination form consisting of 100 multiple-choice items, including 15 pre-test items, unless the Practice Analysis results specify otherwise. The Testing Company develops up to two (2) sets of 15 pre-test items and incorporates them with the scored forms to create two (2) alternate forms for review and approval of the Test Committee.

## **2.9 Examination Development for Web-Based Recertification Examination**

Policy: A new web-based recertification examination is developed every two (2) to three (3) years. New versions of the web-based recertification examination corresponds to the current detailed content outline, or to a content outline unique to the recertification examination if supported by the Practice Analysis research.

### Procedure:

1. The Testing Company establishes a timeline for web-based recertification examination development, which allows for a new form of the web-based recertification examination to be developed and available every two (2) to three (3) years.
2. The process used by the Testing Company and the Test Committee to develop the recertification examination is similar to that which is used to develop the proctored CIC® examination.

## **2.10 Proctored Initial Certification Examinations Administration**

Policy: The a-IPC, LTC-CIP, and CIC<sup>®</sup>, are administered at established sites or live remote proctoring throughout the year.

Procedure:

1. Testing sites must meet standard test site specifications accepted by the Testing Company.
2. The initial certification examination is administered in multiple sites as established by contract with the Testing Company.
3. The Testing Company secures all contracts and makes site and proctor arrangements for all test administrations. Tests are administered by contracted proctors as per established protocols.

### **2.11 Web-Based Recertification Examination Administration**

Policy: The self-paced CIC<sup>®</sup> recertification examination may be requested by any individual for the purpose of recertification through the CBIC Executive Office, who communicates the request to the Testing Company via an application to the CBIC Office. The recertification examination may not be used for initial certification or for any certificants whose certification has expired or for any certificant who has failed the recertification examination within the past five (5) years.

Procedure:

1. Certificants may recertify by taking the web-based recertification examination.
2. Individuals should request the web-based recertification examination by completing an application form and submitting the specified fee to the CBIC Executive Office. Applications are accepted during the year the certificant is due to recertify.
3. Candidates may complete the examination using reference materials at their own pace and in the setting of their choice. Certificants must submit their answers by the end of the year their certification expires.
4. The recertification examination, as well as the initial certification examination, is copyright protected. It is illegal to make copies of, distribute, or share information regarding the questions.
5. The Executive Office verifies that persons requesting to recertify by web-based recertification examination are eligible.
6. Candidate reported issues and appeals are sent to the Exam Advisory Committee.

### **2.12 Item and Test Performance Analysis**

Policy: The Testing Company conducts an item analysis (IA), which evaluates the performance of individual test items and test forms, and reviews the results with the Test Committee Chair and Co-Chairs, as well as the President and President-Elect.

Procedure:

1. A summary of item performance is prepared by the Testing Company for each item which includes the following information:
  - a. The number of candidates who chose each option with the keyed answer indicated.
  - b. The percentage of candidates who chose each option.
  - c. The average (mean) score for candidates who chose each option.
  - d. The percentage of candidates who chose the correct answer (P value).
  - e. The discrimination index for each item. This is the point-biserial correlation that indicates the correlation between performance on the item and the total test.
  - f. Overall test performance to include range, mean, standard deviation, and reliability.
2. The Testing Company identifies items that, from a psychometric standpoint, do not perform well, or have areas of concern. Such items that have been pre-tested are reviewed by the Test Committee prior to their activation for possible use on scored examination forms.
3. A Test Analysis Report is prepared and provided to CBIC following the last administrations of each proctored examination.
4. Provided the item pool supports instant scoring, individual score reports may be released to the candidates immediately upon completion of the test administration.

### **2.13 Cut Score Determination and Equating**

Policy: A cut score is established for the first examination forms developed according to a newly developed content outline resulting from an updated Practice Analysis [i.e., the base form(s)]. The process for determining a cut score is based on a criterion-related method consistent with current standards of the testing industry and NCCA recommendations. CBIC has the authority and responsibility to approve all cut scores.

Procedure:

1. The process is coordinated by the Testing Company using a committee consisting of Test Committee and CBIC Directors, excluding the Consumer Director (the Consumer Director cannot be a rater, but may participate as an advisor on issues not requiring content expertise).
2. The new forms of the examination will be rated by a minimum of eight (8) SMEs at a one (1) to two (2) day in-person or virtual Standard Setting Meeting with Testing Company staff. Standard Setting Meeting participants cannot have participated in item writing or review for new forms. SMEs determine the “minimally competent practitioner” for each examination type, and will rate the examination questions and take the examination.
3. A separate cut score is established for the proctored computer-based examination and the web-based recertification examination. The cut score is established based on the expectations of the performance of a “minimally competent practitioner” pertinent for each examination type, as determined by the results of the Standard Setting Meeting. The cut score for an examination form is determined by three (3) to five (5) decision makers selected from CBIC leadership in a meeting facilitated by Testing Company staff.

This Cut Score Decision Call is a two (2) hour web conference in which the CBIC decision makers will conduct a review of the results from the Standard Setting Meeting.

4. Linear equating is completed by the Testing Company to link the difficulty of subsequent forms to the base form(s). Since this process is performed prior to test administration, it is referred to as pre-equating and serves to project future test performance based on previous candidate performance on the test items. In general, it is desirable that items are selected such that the pre-equating data establishes that the same raw cut score may be used for different administrations of the same form, representing a consistent amount of knowledge being displayed in order to pass.

#### **2.14 Establishment of a Pass/Fail Database**

Policy: The Testing Company is responsible for scoring, determining pass/fail status based on the passing point authorized by CBIC, and notifying candidates of individual scores.

Procedure:

1. The Testing Company produces individual score reports for candidates. Score reports and pass/fail notification are provided directly to the candidate by the Testing Company.
2. The Testing Company provides all candidate pass/fail data and a composite database to the Executive Office.
3. The Certification Manager oversees the automated process by which candidate pass/fail information is added to the overall certificants database, adding new certificants and updating re-certifiers and failed re-certifiers.
4. The Executive Office sends congratulatory letters to successful candidates. Letters are also sent to unsuccessful candidates.

#### **2.15 Test and Item Security**

Policy: Participants in Test Committee meetings or CBIC Board meetings where test materials are reviewed uphold strict confidentiality regarding specific questions, answers and other information discussed or reviewed. All Board members, non-Board members involved in the review of items, and members of the Testing Company working with the Test Committee must sign a Conflict of Interest Agreement Form annually, prior to participating in test development.

Procedure:

1. Participants may not duplicate any test materials or keep electronic copies of materials on disk or computer.
2. Materials may only be removed from meetings with consent of the Test Committee Chair, and must then at all times be secured by the committee/Board member.
3. CBIC Test Committee members are not eligible to take the examination for two (2) years following the end of their term. If these individuals are due to recertify, they may maintain CIC® status until the first year they are eligible to recertify, which is the third year following the end of their term.



4. During or for two (2) years after the conclusion of their term on the Test Committee, participants are not eligible to endorse, assist or participate in any educational endeavor which has as its primary purpose the preparation of individuals for passing the certification examination.
5. Participants in test development who are involved in general infection control education programs must request that advertisement for such programs not include reference to the fact that the participant is involved with the development of the certification examination and that there be no reference of CBIC involvement in their introduction.

## **2.16 Individual Test Result Security**

Policy: CBIC, in conjunction with its Testing Company, maintains complete confidentiality of individual test scores. Summary statistics are provided at open forums and published periodically in the infection control literature and on the CBIC website. The Testing Company and Executive Office are responsible for the accuracy and publication of the list of candidates passing the certification examination.

### Procedure:

1. Any individual or group requesting summary test data must do so in writing to the CBIC Executive Office.
2. As soon as all results of examinations completed in a calendar year are analyzed and summarized by the Testing Company, a table of year-end statistics will be provided to the Executive Office. Statistics must include the number of first-time, repeat, and re-certifying candidates attempting, passing and failing each proctored recertification examination administration and web-based recertification examination for a calendar year.
3. The list of names of candidates who successfully pass the exam, and the test statistics, are forwarded quarterly by the CBIC Executive Office to the APIC and IPAC Canada offices for the purpose of updating the APIC and IPAC Canada membership files.
4. Copies of any published data are distributed by the CBIC Executive Office directly to anyone who requests this information in writing.

## **2.17 Candidate Handbook Publication**

Policy: CBIC publishes pertinent information relative to the organization and the certification process for candidates seeking to apply for the examination in a Candidate Handbook, which is reviewed, revised and published as needed. Candidates are held to the instruction and rules published in the Candidate Handbook for the year in which they take the examination. Likewise, Board decisions influencing changes in what is published in the handbook do not take effect until published in the Candidate Handbook.

### Procedure:

1. CBIC staff provides periodic reviews and a full audit annually of the Candidate Handbook.

2. Changes are reviewed and approved by the Executive Committee.

## **2.18 Security of Candidate Records**

Policy: CBIC maintains the confidentiality of candidate application and examination records. Information included in candidate records is only accessible to authorized CBIC personnel. Exceptions to this include pass/fail information needed for certification verification in the event of a review by the Judicial and Ethics Committee (as outlined in Section II, Policy 5.4) or the Exam Advisory Committee (as outlined in Section I, Policy 2.12.2).

1. Candidate information contained in application and examination records are accessible only by CBIC staff and saved electronically in the CBIC database. Raw examination results files are saved on the server, and applications are saved permanently according to the records retention policy (as outlined in Section II, Policy 1).
2. Information in candidate examination and application records are not disclosed to anyone except the candidate, except in the circumstances outlined above. Demographic information provided in candidate records may be used as part of compiled data analysis with all identifying information removed for the purposes of data-driven decision making and marketing, but only as compiled anonymous data.

## **Section 2, Category 3 Other Contractual Agents**

### **Category 3.0 Other Contractual Agents: Legal, Auditor, Etc.**

It is CBIC's responsibility to retain and review legal counsel and auditor services. Contracts are negotiated as necessary to maintain these services; performance evaluations of incumbents are accomplished prior to negotiation of new contracts or renewal of retainer agreements.

#### **3.1 Legal Counsel**

Policy: Legal counsel, as a resident of the Commonwealth of Massachusetts, serves as resident agent in Massachusetts and is responsible to the Executive Committee and to the Board of Directors through the President in all legal matters concerning CBIC.

Procedure:

1. Legal counsel reviews and negotiates, when necessary, contracts with vendors, management/testing company contracts, etc.
2. Legal counsel may attend such CBIC meetings and participate in other official activities as may be requested by the President, a majority of the Executive Committee or a majority of the entire Board.
3. Legal counsel is excused from the executive sessions of such meetings unless specifically invited to attend by the Board of Directors.
4. When services are requested of legal counsel on behalf of the CBIC Board, a written analysis, summary and resulting recommendations associated with the intervention is provided to the Board.

5. Legal counsel may review Bylaws for currency and/or input into proposed changes.
6. Legal counsel provides consultation regarding examination challenges and/or in the event of ensuing litigation.
7. Legal counsel retains the corporate seal.

### **3.2 Auditor**

Policy: The auditor is responsible to the Executive Committee and to the Board of Directors through the President in all financial matters concerning CBIC.

Procedure:

1. The auditor is responsible for protecting and supporting the best interests of CBIC in all financial matters.
2. The auditor may attend such CBIC meetings and participate in other official activities as may be requested by the President or a majority of the Executive Committee.
3. The auditor is excused from the executive sessions of such meetings unless specifically invited to attend by the Board of Directors.
4. The auditor audits or arranges for an audit of the organizational financial records annually. A certified financial statement is provided to all Board members four (4) months after the end of the fiscal year.
5. The auditor prepares all governmental filing requirements.
6. The auditor sends the final, completed tax form annually to CBIC Treasurer for signature and mailing to the specified IRS location by certified mail.
7. A detailed letter of engagement for the coming year is submitted by the auditor to the Treasurer.

## **Section 2, Category 4 Board Operations**

### **Category 4.0 CBIC Board Operations**

#### **4.1 CBIC Board of Directors Meetings**

Policy: CBIC conducts up to three (3) business meetings of the Board of Directors on date(s) designated by the President. Additional meetings of the Board may be called by the President in consultation with the Executive Committee or by a majority of the Board of Directors.

Procedure:

1. The CBIC President determines the date(s) and location(s) for the Board of Directors meetings during their term and communicates these in writing to the Board and management at least three (3) months prior.

- a. In collaboration with the CBIC President and/or President-Elect, CBIC staff makes all logistic arrangements for these meetings, and coordinates travel and room arrangements for the Directors.
  - b. Site selection for the Board meetings focuses on ease of travel (major ports), economy and weather conditions.
  - c. Accommodations are selected based on established criteria including sleeping rooms, Board-style meeting room and catering costs within approved budget, adequate meeting space, in-room accouterments, and convenience to local restaurants.
2. Expenses for these meetings are incorporated into the appropriate proposed annual operating budget and approved by the Board.
- a. Travel arrangements are made through the approved CBIC travel agent or directly by the Board member in the most cost effective and reasonable manner. Directors are expected to make travel arrangements promptly to facilitate the lowest fares. Airfare should not exceed the established limit. If delay in arranging travel results in exceeding established airfare limits, the Director bears the cost of the excess airfare. Exceptions to this may be granted by the President or Treasurer.
  - b. Directors electing to alter travel arrangements other than directly to and from the meeting or alter reservations resulting in increased fare(s) are responsible for the difference in the fare.
  - c. Travel by private car is reimbursed at the current government rate, including tolls and parking, and should not exceed coach airfare for the same distance.
  - d. Ground transportation to and from the airport by shuttle or taxi is reimbursed. The most cost effective method of transport should be used. The use of rental cars must be pre-authorized by the President or Treasurer.
  - e. Expenses incurred by a Board member's significant other or guest are paid by the Board member to the extent possible at the time the expense is incurred. Other spouse or guest expenses should be itemized on the expense report submitted for reimbursement (e.g. lodging, meals and travel) and deducted from the total amount due.
  - f. CBIC uses the IRS High-Cost city per diem rates for meals and incidental expenses as a general threshold for maximum reimbursement.

3. Expenses NOT eligible for reimbursement include:

- a. Rental car fees in excess of average round-trip cab fare to and from the airport; gasoline; cellular phone bills; hotel incidentals including, but not limited to: phone charges, honor bar, dry cleaning, movies, games, etc.

## 4.2 Board Meeting Agenda

Policy: The President collaborates with the Executive Director to determine the agenda, allocation of discussion time, committee meeting time, and office/committee reports for the CBIC meetings. Directors are expected to review the materials in preparation for the meeting to facilitate discussion.

Procedure:

1. The Executive Director prepares a written agenda, including standard items listed below and those elicited from the Directors in advance. The President makes any needed revisions or updates to the agenda prior to its distribution to the Board.
2. Board packets containing required committee reports and attachments for agenda items are prepared in advance of the meeting by the assigned contractual agent, officers or Directors and submitted to the Executive Director in sufficient time to allow distribution to the Directors at least one (1) week in advance of the meeting.
3. Board members are responsible to have reviewed material provided in Board packets prior to the meeting.
4. Committee meetings may be held in conjunction with Board meetings. Committee Chairs requiring committee meeting time must request a specified amount of time with the President at least thirty (30) days in advance of the meeting. Committee business should be conducted using the most cost effective approach for the business at hand.
5. Committee, project and task force reports to the Board should utilize the following format:
  - a. Committee (project/task force) name
  - b. Strategic plan goal/objective/tactic
  - c. Action items
  - d. Informational items
6. Board meetings are conducted by the President following parliamentary procedure to include, but not limited to: acceptance of consent agenda and meeting agenda, President's Report, ratification of Executive Committee actions, Treasurer's Report, Committee Reports, and strategic planning.
7. The first Board meeting of the year is held during the first two (2) months of the year and includes the orientation meeting for new Board members.
8. Election of CBIC Officers is conducted at the fall Board meeting. The fall Board meeting also focuses on reviewing the Strategic Plan and determining the priorities and projects, including review and approval of proposed committee budgets and approval of the upcoming year's proposed operational budget.

#### **4.3 CBIC Committee Meetings**

Policy: Standing committees, ad hoc committees and task forces are named by the President as needed to conduct the routine business and work of CBIC.

Procedure:

1. Each committee or task force establishes a written policy or charter defining the goals and objectives for the working group consistent with the Strategic Plan and direction of CBIC.
2. Chair and committee members are assigned prior to the winter Board meeting by the incoming President.

- a. Committees, with the exception of the Practice Analysis Task Force, Marketing Committee, and Test Committee, are made up solely of CBIC Board members, unless a non-Board member is approved by the CBIC Board.
  - b. An ad hoc member from the Board can be appointed as a substitute on an as needed basis to any committee at the discretion of the committee Chair, with approval of the President.
  - c. Invited guests may serve as advisors without voting privileges.
  - d. Liaisons may serve as committee members, except on the Test Committee, in a non-voting capacity.
3. The Chair is responsible for establishing a timeline for the work of the committee, meeting agendas, and minutes as indicated.
  4. The Chair prepares written committee reports (as specified in Section 4.2, Procedure 5).
  5. The Chair maintains effective channels of communication of committee activities to the President, Executive Committee and the Executive Director.
  6. The Chair is responsible to request authorization from the Board for all new projects undertaken by the committee.
  7. The committee is responsible for identifying anticipated expenses in preparation of the annual operational budget and communicating expenses to the Executive Director as per the established budget preparation procedure.
  8. The committee is responsible for requesting a budget variance preceding the expenditure of unanticipated expenses associated with committee activities.

#### **4.4 CBIC Meeting Attendance**

Policy: Board members are expected to attend all Board and committee meetings for the entire scheduled meeting.

Procedure:

1. Directors who have unavoidable scheduling conflicts or unexpected emergency must contact the President if they will be arriving late, leaving early, or are unable to attend.
2. The President may replace an absent Board or committee member with an appropriate alternative, when the business of the Board or committee requires representation by number or discipline that must be fulfilled.
3. Board members unable to fulfill their commitments to the Board may be replaced if necessary.
4. Meeting attendance is a consideration for favorable endorsement for re-appointment to the Board or nomination for an office or committee Chair.

#### **4.5 CBIC Communications, Confidentiality, and Conflict of Interest**

#### **4.5.1 Communications**

Policy: The President is the sole spokesperson for CBIC.

Procedure:

1. Communication between CBIC and certificants and/or applicants:
  - a. Responding to routine inquiries addressed by established policy and procedure is the responsibility of the Executive Director or designee.
  - b. Unusual situations or concerns, which cannot be resolved, are referred to the President or Executive Committee, or Test Committee Chair.
  - c. When Directors receive verbal inquiry or complaint relative to a certification issue, the Director should request a written summary and copies of any supporting documentation and refer the issue to executive management. Verbal response to the candidate/certificant should thank them for their comments, and indicate the issue will be investigated and responded to. Any information given must be consistent with the current Candidate Handbook and/or established policy. All written responses should come from the President, Executive Director or designee, or Test Committee Chair.
2. Communication between CBIC and other organizations:

The President is the official communicator with outside agencies. All correspondence or inquiry should be referred to the President. Individual members of the Board should not respond officially on behalf of CBIC unless directed by the President.
3. Statement of Board policy versus personal opinion:

In communication with others regarding certification issues, care must be exercised to differentiate between CBIC policy and personal opinion. Board policy is defined as a practice or proposed practice adopted by CBIC through the approval of a resolution that appears in the official minutes and/or in the policy manual or Candidate Handbook.
4. Requests for exceptions to Board policies:

Requests are to be referred to the Executive Director to enforce established policy or determine if unusual circumstances warrant referral to the President or Executive Committee. Individual Directors must not promise exceptions to established policy.
5. Written correspondence:

All written correspondence by Directors should be reviewed by the Executive Director and/or President prior to distribution, with copy maintained by the Executive Office.

#### **4.5.2 Confidentiality**

Policy: Committee members must protect the confidential information of CBIC and must not use confidential information or their position as a Director or Committee member to the detriment of CBIC.

Confidential information of CBIC includes confidential, proprietary and/or legally privileged material of CBIC and is solely for use by CBIC. Confidential information is information obtained through the Director's, or committee member's position that has not been released to the public.

Confidential information of CBIC shall not be used, disseminated, disclosed, distributed, or copied in any manner except at the direction of CBIC. Any unauthorized use is a violation of this policy, may be unlawful, and may result in action by CBIC.

CBIC Directors or committee members must maintain confidentiality of Board issues and test development materials and items. Minutes of Board meetings, meeting agenda information and discussion content, corporation financial statements, examination materials, corporate business information, and individual correspondence are confidential and should not be distributed or discussed with individuals who are not members of the Board or staff.

Procedure:

1. Directors should exercise caution relative to confidential materials as defined above. Requests for copies of the above will be referred to the Executive Director or President.
2. Projects and/or issues being discussed at CBIC Board meetings are not discussed by individual directors outside the Board until the item is voted upon unless a director is participating in an evaluative or fact finding task directed by the CBIC President.
3. Once an issue is decided by the Board, support of the decisions is expected by all Board members.
4. Directors will explicitly follow instructions provided by the Testing Company for handling, storing and shipping secure test materials.
5. Any questions concerning confidentiality should be referred to the Executive Director or President for clarification.

#### **4.5.3 Conflict of Interest**

Policy: This policy applies to all Directors and committee members of CBIC, including all management staff.

The Directors, committee members and management staff owe a duty of loyalty to CBIC, which requires that, in serving CBIC, they act not in their personal interests or in the interests of others, but rather solely in the interests of CBIC.

Directors, committee members and management staff must have an undivided allegiance to CBIC's mission and may not use their position or information they have about CBIC or CBIC's property, in a manner that allows them to secure a financial or other material benefit for themselves or their relatives. Accordingly, no Director or committee member or staff person may use their position for personal gain or benefit at the expense of CBIC, its mission, or its reputation.

CBIC Directors and committee members may not serve as a director or officer for another organization whose primary or secondary activity is related to the activities of CBIC.



During their term of office and for two (2) years after leaving the CBIC Board, CBIC Directors are not eligible to endorse, assist or participate in any educational endeavor which has as its primary purpose the preparation of individuals for CBIC certification. All new Board members are made aware of all policies related to conflict of interest during Board orientation.

Procedure:

1. At the beginning of each year, all management staff must review the Conflict of Interest Policy, sign a Conflict of Interest Form and disclose any conflict of interest to the Board of Directors.
2. Assessment of potential conflict of interest is a standard agenda item at the beginning of each CBIC Board meeting. Any conflict must be disclosed and recorded in the minutes.
2. Any Board member having a duality of interest or possible conflict of interest on any matter should not vote on the issue. Minutes should reflect disclosure of conflict and abstention from the vote.
3. The Director, committee member or staff person who discloses a direct or indirect financial or other material interest in a proposed or existing CBIC arrangement in the context of a Board/committee discussion or decision describes the direct or indirect interest and responds to questions by the Board of Directors/committee members, but after such presentation, they leave the meeting during the discussion and vote on the arrangement.

As part of any such description of the interest, the Director, committee member or staff person provides to the Board/committee any reasons why the arrangement may or may not be in the best interest of CBIC.

If necessary, the Board/committee will determine whether CBIC can obtain a more advantageous arrangement with reasonable efforts from a person or entity that would not give rise to a conflict of interest.

If appropriate, the Board/committee may appoint a disinterested person or group to investigate alternatives to the proposed arrangement.

If a more advantageous contract/transaction/arrangement is not reasonably attainable that would not give rise to a conflict of interest, the Board/committee determines by majority vote of the disinterested members of the Board/committee whether the arrangement is in CBIC's best interest.

4. If the Board has reasonable cause to believe that a Director, committee member or staff person has failed to disclose a direct or indirect financial or other material interest or co-investment interest subject to this policy, then the Board informs the Director, committee member or staff person of the basis for such belief and affords the Director, committee member or staff person an opportunity to explain the alleged failure to disclose.

If, after hearing the response of the individual and conducting any investigation that may be warranted, the Board of Directors determines that the Director, committee member or staff person has in fact failed to disclose a direct or indirect financial or other material

interest or co-investment interest subject to this policy, it should take appropriate disciplinary and corrective action.

5. This policy shall not be construed as preventing any Board member from briefly stating a personal position on any matter, or from answering pertinent questions by other Board members, since the personal knowledge may be relevant to the discussion.
6. Current Board members who participate in educational programs must request:
  - a. That advertisement for such programs not include reference to the CBIC directorship.
  - b. That there is no reference to the CBIC directorship in their introduction at the program.

**EXCEPTION:** An educational session sponsored by APIC or any other professional organization whose educational goal is to endorse or explain the CBIC certification process.

7. Materials developed by CBIC are solely owned by the corporation. Individual Directors may not claim ownership or copyright.
8. CBIC may elect to develop or assist in the development of educational materials only if these materials are universally available to all interested parties and are not distributed preferentially.

#### **4.6 Performance Evaluation Process**

Policy: An annual performance evaluation of management services is conducted by the Board to give the Management Company feedback about performance, identifying areas of strength and areas for development.

Procedure:

1. The performance evaluation tool is included in the packet sent to all Board members prior to the end of the year. Board members are asked to respond in each area in which they have had experience and asked not to respond if they do not have adequate personal experience to provide an evaluation.
2. Areas of evaluation correspond to activities which support strategic priorities and are weighted according to their importance toward achieving those priorities.
3. Board members return responses.
4. The Immediate Past President collates responses and submits a report for the winter Board meeting.
5. Informal feedback is provided by Board members, particularly the President and Treasurer, on an ongoing basis to identify and resolve potential problems early in the process.

6. The Executive Committee evaluates other contracted service providers periodically and provides the Board with an overall report on those services at the first Board meeting of the year. In addition, problems which could impact on services are brought promptly to the attention of the Executive Committee for action and resolution.

#### **4.7 Publications Proposals and Approvals**

Policy: Proposals are required for most projects and publications, though the level of required approval varies by publication. Consider the intended audience for the project or publication, how widely it might be distributed, and the assumed permanence of the medium used for publication.

Procedure:

1. No approval needed:

Generally, information about the work of CBIC shared informally via social media (including Facebook, LinkedIn and Twitter) does not need formal approval.

Process: None

Examples:

- CIC® in the Spotlight
- Retired test questions

2. Board of Directors approval:

Board of Directors approval is needed for publications that are produced for use in journals, newspapers, or other formal means of communication.

Process: Discuss the work with the Board, drafts and edits will be worked on together, and final approval will go to a Board vote.

Examples:

- Newspapers
- The themes and text of serial publications
- AJIC
- IJIC

3. Executive Director approval:

Executive Director approval is needed when sending targeted content, starting new marketing initiatives, or content that will reach a large audience.

Process: CBIC staff will draft and edit content until the finalized version is approved by the Executive Director.

Examples:

- Conference program materials (promotional materials and conference handouts)
- The original concept of social media initiatives including: Facebook, LinkedIn, Twitter, podcasts, webinars  
*Note: No approval is needed for individual posts, hashtags, etc.*
- Website additions or edits
- E-newsletters or other widely distributed electronic communications
- Surveys
- Manuals and internal process documents

##### **4.7.1 Expectations for Publication and Project Proposals**

Policy: Board of Directors approval is needed for publications that are produced for use in journals, newspapers, or other formal means of communication.

### Procedure:

The Board of Directors considers several factors when reviewing publication proposals. First, the Board of Directors expects proposals to document the purpose of a project or publication. This documentation helps Chairs, committee members, and the Executive Committee to understand a proposal's origin and what it is trying to accomplish. The proposal acts as a contract between the Board of Directors and the proposing committee, indicating what, how, and when the committee will complete the project or publication, and the long term plans for maintaining the project or publication.

Additionally, the Board of Directors considers the level of commitment necessary for projects and publications. Further, the Board of Directors expects publication or project proposals to demonstrate that the presenter has considered the feasibility and sustainability of proposed projects. The publication proposal should reflect that the proposing committee has fully considered the plans and implications for its proposed project or publication and has thoughtfully documented the details in the proposal.

After the Board of Directors reviews a proposal, they may send it back to the submitting committee/individual with questions or requests for revisions. When the presenter has revised the proposal, they may send it back to the Board of Directors for further consideration.

Note that all types of potentially useful communication formats are not explicitly addressed here. These guidelines will evolve as new needs and formats emerge.

### **4.7.2 Considerations for a Project or Publication**

When a publication is proposed or reviewed, the responsible committee must consider the publication's lifecycle and submission process based on its anticipated and/or past use. A publication proposal should explicitly address each concern and identify the committee or person(s) responsible for overseeing guidelines and review of revisions to the document.

The following contingencies must be considered and planned for when looking at the lifecycle of a publication:

- How long will the publication's topical focus be relevant?
- How long will the publication's specific content be relevant?
- Will the publication's content require revision in the future, and why?
- How frequently should the publication be reviewed for relevancy, accuracy, and comprehensiveness based on the publication's subject matter?
- What conditions would indicate that a document should be retired?

The following contingencies must be considered and planned for when looking at a publication's submission for print:

- What are the policies for the journal or newspaper?
  - How does their review process work for submissions?
  - What is their policy on dual publications?
  - How do they require authorship to be handled?
- Are there any background contracts or agreements that would affect this proposal?

- How will licensing and copyright affect the publication?
- What is the formatting and peer review process that must be followed?
- Does the publication organization have a checklist that can be followed? If so, please include it with the proposal.

#### **4.7.3 Tips for Successful Publication or Project Proposals**

- Consult closely with the committee's Board liaison in the drafting of the proposal through all revisions and iterations. Confer with the liaison to determine what level of review and approval will be necessary for the planned publication/project.
- Ensure that a proposed project or publication is aligned with the goals of the organization.
- Consider the following questions:
  - What strategic goals are being addressed by the planned publication/project?
  - Who is responsible for doing what and when? Does the action plan for the publication/project address all concerns?
  - Will the publication/project have a defined end, or will it require future review and revision?
  - Who will be responsible for future review and/or revision and when?
- Allow sufficient time when submitting your proposal, especially for projects that are time-sensitive or that must be completed before a meeting or conference. Consider the average turnaround time for receiving a response to your proposal, and also allow time for edits that may be requested.
- Track changes to the text if revising a previously published document or if revisions are made in response to comments by reviewers. Helping reviewers easily recognize changes simplifies and expedites the approval.
- Documents should include an update and an approval date.

#### **4.7.4 Submissions to Journals**

- Keep the Board informed regarding status of journal review.
- Forward copies of the journal reviewers' response to all members of the Board.
- Should a manuscript not be accepted, the author informs the Board and, most often, requests a teleconference call be scheduled to determine plans for revising and/or resubmitting the manuscript.

Following acceptance of a manuscript, the lead author is responsible for forwarding the final manuscript to the Board.

## **Section 2, Category 5 Judicial and Ethics Process**

### **Category 5.0 Judicial and Ethics Committee**

Since 1983, CBIC has certified professionals whose primary responsibility is the implementation of infection control and epidemiological principles in various patient care settings. The Certified

in Infection Control (CIC®) designation is recognized by healthcare professionals, employers, and regulatory agencies at the local, state and national level. Examination is the standard by which the professional's knowledge base is measured.

Because of the significant national credibility associated with the CBIC examination, CBIC has a responsibility to ensure the integrity of the credential awarded (CIC®, a-IPC, LTC-CIP). CBIC has established a Judicial and Ethics Committee (JEC) to protect the public from individuals who hold themselves out as certified, credentialed professionals without having first been awarded the CIC®, a-IPC, or LTC-CIP credential by CBIC, who had the designation but failed to timely renew, or who otherwise falsified their application to CBIC.

Certification candidates for initial certification or recertification ("certification candidates") agree that their application is current and accurate at the time of submission. Further, CBIC shall from time to time undertake to monitor use of CBIC credentials by those to whom it has been conferred to ensure that it is being used only by individuals then holding said credential and that it is being properly held only in accordance with CBIC's requirements. CBIC's good faith judgment concerning such matters shall be final. In making these evaluations, by virtue of applying for certification, certification candidates and credentialed individuals agree that CBIC may from time to time (whether, in the case of a certification candidate, they are ever awarded a credential and, in the case of a credentialed individual, even after the termination or expiration of such credential) contact and make inquiry with any third party, including licensing bodies, hospitals, employers and others, to ensure proper use and integrity of CBIC's credentials and to ensure that such credentials are being used only by individuals who are then so credentialed and otherwise eligible and qualified to use such credential. Certification candidates and credentialed individuals agree that CBIC may disclose information concerning them at any time and to any person or entity that CBIC determines to have a legitimate need for it.

## **5.1 Purpose of the Judicial and Ethics Committee**

Policy: The JEC is charged with investigating, adjudicating, and disciplining reported incidents in which certification credentials have been falsified or misrepresented, or altered examination score reports have been prepared. In addition, JEC investigates, adjudicates and recommends or takes appropriate action for the misuse of CBIC credentials by those who have not obtained the right to use the mark or who failed to maintain the right to use the mark by not timely renewing their registration. The JEC also investigates and decides claims of unacceptable or potentially harmful practice-related behaviors of current certified professionals. In order to perform its functions, the JEC has adopted operating policies and procedures which meet the standards of the Institute for Credentialing Excellence ([ICE](#)), which requires that member organizations have an enforceable disciplinary process.

### Procedure:

1. To protect the credential and assure responsible practice by its certified members, CBIC depends upon infection control professionals, employers, state licensure boards, and the public to report incidents or issues, which may require action by the JEC. Complaints which appear to fit the scope of the JEC's responsibilities may be sent to [info@cbic.org](mailto:info@cbic.org) to the attention of the Chair, CBIC Judicial and Ethics Committee.

2. The JEC is an ad hoc committee. If the JEC needs to convene, the Immediate Past President serves as Chair of the committee.
3. Meetings of the JEC may be held by conference call or other mode of telecommunication unless a face-to-face meeting is determined to be essential for evaluating a complaint.
4. Written complaints from individuals may be disregarded if the complainant does not identify themselves and the complaint is not signed. If an initial complaint is reviewed by the JEC, the complainant is required to authorize the disclosure of all information reasonably related to the complaint to the charged party. There may be times when written complaints are not required, such as in judicial or regulatory proceedings against a charged party that allege or determine an act of misconduct or misuse of the credential which appears in the public domain. The JEC can act upon such credible evidence that they may become aware of without the necessity of a formal, written complaint.
5. When CBIC staff receives a written report, or what appears to be credible evidence of an incident or professional misconduct which falls into one of the categories listed below, the information is referred promptly to the JEC which then initiates an investigation to determine whether the issue described warrants formal action.

## **5.2 Types of Complaints**

Policy: CBIC recognizes that misconduct, including but not limited to the conduct set forth below, is misconduct for which applications for the CBIC examination may be denied and for which certification candidates and/or credentialed individuals may be disciplined.

Procedure: Examples of misconduct for which the judicial and ethics process may be implemented and for which sanctions or discipline may be imposed include:

1. Obtaining or attempting to obtain certification or recertification by fraud, deception, or artifice.
2. Knowingly assisting another person(s) in obtaining or attempting to obtain certification or recertification by fraud, deception, or artifice.
3. Illegal use of a certification certificate or falsification of credentials.
4. Misrepresentation with respect to a CBIC certification status (including, without limitation, use of a credential after it has expired or been terminated) or eligibility (including but not limited to, omissions or misrepresentations with respect to the effectiveness, expiration, revocation or suspension of such credential or descriptions, whether in resumes, communications, advertisements, publications, directories, letterhead or otherwise.)
5. Unauthorized possession and/or distribution of any official CBIC testing or examination materials, including copying and/or reproducing any part of the CBIC examination questions or problems.
6. Unauthorized use of the registered certification mark owned by CBIC. This includes the CIC<sup>®</sup>, a-IPC or LTC-CIP designation.

7. Engaging in irregular or improper behavior or other misconduct in connection with the initial certification examination, recertification examination, or other examination processes.
8. Making a material misstatement of fact or omission in connection with an application for certification or recertification to CBIC.

### **5.3 Investigation Procedure**

Policy: The judicial process is designed to provide the individual alleged to have committed a violation of the CBIC policies/procedures notice of the alleged violation and a fair opportunity to be heard before any action is taken.

Procedure: In each instance of a complaint in accordance with the procedures set forth herein, the following steps are taken within a reasonable time to perform the investigation and address the complaint.

1. *Investigation procedure:* Within a reasonable time following receipt of a complaint, the JEC Chair provides written notice via electronic mail to the individual referred to as the “charged party,” fairly describing the particulars of the complaint. The “charged party” is notified of the opportunity to furnish a written response within thirty (30) days from said notice of charge in order to set forth its position in response to the complaint and provide pertinent information in connection therewith. Such notice also informs the charged party that the failure to respond to the complaint within the thirty (30) day period, absent an extension or request for an extension, constitutes an admission to the facts and charges as set forth in the complaint and that as a consequence, disciplinary action may be taken.
2. *Hearing determination:* The JEC Chair forwards the initial complaint and the response by the charged party, together with any supporting materials, to members of the JEC committee. The PCC reviews such submitted materials and determines, based on majority vote, whether there is probable cause that the allegations advanced against the charged party, if proven, would constitute a violation of the policy. In the event probable cause is found, the matter proceeds to a formal evidentiary hearing. If no probable cause is found, then the complaint is dismissed. In either event, within ten (10) days from such decision by the PCC, both the complainant, if they provided the complaint in writing, and the charged party is notified in writing of such determination and such notice is given by both certified mail/return receipt requested and regular first class mail/postage prepaid. The JEC Chair can overrule the finding of no probable cause if the gravity of the circumstance(s) warrants a hearing by the full JEC.
3. *Hearing procedure:* In the event the PCC finds that probable cause exists, the JEC Chair notifies the charged party as stated above of:
  - a) The specific charge or charges for which probable cause has been found.
  - b) That the charged party has thirty (30) days within which to file a more detailed written response, which may include affidavits.
  - c) A formal hearing before the JEC shall be held within sixty (60) days from the date such response is due.



Said response by the charged party should also include the names of persons who may have knowledge of facts relevant to the complaint and who may be contacted by an investigator/presenter appointed by the President of CBIC. Once the investigator/presenter notifies the Chair that it has completed the investigation; the Chair shall set a hearing date which is held, absent good cause attributable to the investigative process, within ninety (90) days from the date of the receipt of the response by the charged party set forth in this subsection 3. The charged party, or its legal counsel, is entitled to review the findings of the investigator/presenter and information obtained in the course of the investigation. The charged party has the right, but not the obligation, to submit a written rebuttal of the charges within fifteen (15) days following receipt of the charges.

4. *Investigator/presenter:* An investigator/presenter is appointed by the President of CBIC. This person (who may, but need not be, a member of the CBIC Board of Directors) contacts individuals who may have knowledge of facts pertaining to the alleged offenses and otherwise investigates evidence which may be relevant, to be presented to the JEC on behalf of the complaint or the CBIC Board. The designated investigator/presenter does not sit on the JEC and does not have any authority other than as expressly set forth herein. The investigator/presenter notifies the JEC Chair when the investigation has been completed.
5. *Formal hearing:* The hearing should be at a specific time and place set forth in the notice of formal hearing served on the charged party or counsel therefore, and is served no later than fourteen (14) days prior to the hearing. The hearing is presided over by the JEC Chair or designee. The investigator/presenter represents the CBIC Board position to the JEC. Either party may be represented by legal counsel, but is not required to do so. The JEC may engage the services of legal counsel for the Committee, who may be legal counsel for CBIC. Witnesses may be presented by either side, under oath. Both sides may make closing arguments, the length of which may be limited at the discretion of the JEC Chair, with the charged party being the last to make its argument. The JEC is responsible for making an audio recording of the proceedings and all parties and witnesses are required to cooperate in making such a recording. A copy of the recording is delivered to the charged party upon written request. Either party may, at its own expense, elect to have a stenographer present throughout the course of the hearing.
6. *Decision and notice:* At the close of all the evidence, the Committee engages in private deliberations to consider the evidence presented. Legal counsel for the JEC may, at the request of the Committee, attend such deliberations. A separate majority vote is required as to whether a violation or violations occurred, and a second majority vote determines sanctions to be imposed. The JEC Chair mails written notice of the decision of the JEC to the charged party by certified mail, return receipt requested, and restricted delivery, within ten (10) days of the decision of the JEC. The written notice of decision provides specific finding(s) as to what conduct constituted a violation(s) of CBIC policy (or policies) and/or procedure(s) if any. This notice also specifically provides what sanctions (if any) are to be imposed. The notice of decision also sets forth the steps necessary in order to take an appeal from the decision.
7. *Appeal:* Upon receipt of the notice of decision of the JEC, the charged party has thirty (30) days to file a written notice of appeal to the CBIC Board of Directors. The charged party may appeal the decision as to whether a violation occurred or an appeal also may

be made solely as to the sanctions, which have been imposed. The CBIC Board of Directors, excluding the investigator/presenter, if applicable, reviews the record and determines whether to affirm, modify or reverse the decision of the JEC. The appeal is decided by a vote of the majority Board of Directors, so sitting within thirty (30) days.

8. *Reconsideration:* The JEC may in its discretion reconsider a decision, only if the petition to reconsider contains new information not previously considered by the JEC in its original decision. Reconsideration is an option only if it appears that the evidence is so substantial in nature that the JEC finds that it would have been reasonably likely to affect the outcome of the initial hearing. The charged party has sixty (60) days from the date of adjudication of the original charge(s) to file the petition to reconsider based solely on newly acquired evidence or evidence not available to the charged party at the time of the original hearing. Within thirty (30) days, the JEC may dismiss the complaint or set the case for a rehearing. The JEC Chair appoints an investigator/presenter, if necessary, to conduct a further investigation, including interviewing new witnesses. This additional investigation is completed within sixty (60) days unless the JEC grants an extension of thirty (30) days. The charged party may review the investigator's findings prior to a formal rehearing. The charged party has thirty (30) days from the conclusion of the investigation to further respond in writing or by affidavit. From this point, the hearing is set as described in the preceding sections of this document.
9. *Extensions:* Extensions for good cause and for a reasonable period of time are granted unless doing so is found to substantially impair the rights of any party. The JEC may extend the time periods up to ninety (90) days in the foregoing procedure(s). The charged party, the investigator/presenter or the complainant may request the extension.

#### **5.4 Confidential Information**

Policy: CBIC may obtain confidential information relating to a certification candidate's or credentialed individual's application for certification or recertification, or relating to the judicial process governed by Category 5 of Section II. Notwithstanding the confidential nature of this information, it may become necessary for CBIC to disclose such information to third parties in order to ensure the protection and integrity of CBIC credentials, and certification candidates and credentialed individuals agree to such disclosure as provided herein.

Procedure:

1. Certification candidates and CBIC agree that the certification or eligibility status of a certification candidate or credentialed individual is public information.
2. CBIC shall at all times have the right to disclose to third parties information it possesses about any individual whom it in good faith judges to have violated CBIC rules or engaged in misrepresentation or unprofessional behavior.
3. CBIC recognizes the importance of certification candidates' and credentialed individuals' personal, confidential information and will not disclose such information except to the extent necessary to ensure the protection of CBIC credentials whether during the course of a certification candidate's application for certification or recertification, or the judicial process outlined in this Category.

## 5.5 Disciplinary Sanctions

Policy: It is essential that the JEC is authorized to impose disciplinary sanctions on individuals who violate the provisions of this Category 5. Such sanctions may be imposed only after following the investigation procedure under Category 5.3 and should be no more stringent than necessary to meet the policy objectives noted in this Category.

Procedure: The JEC may impose the following sanctions for violations of this Category 5 or otherwise as the JEC deems appropriate:

1. Deny, rescind or revoke, as appropriate, a credentialed individual's credential;
2. Render the violator ineligible to apply for or be granted certification or recertification for such period as the JEC may determine in its discretion based on the severity of the violation; and
3. Take such disciplinary or remedial actions as the JEC may determine in its discretion to be necessary or appropriate in light of the circumstances, taking into account the severity of the violation.

Certification candidates and credentialed individuals agree that CBIC or the JEC may contact or notify other credentialing bodies, licensing bodies, law enforcement agencies, program directors, hospitals, employers or any third party to the extent necessary or appropriate in CBIC's or the JEC's discretion to identify or prevent misuse or other improper or unauthorized use of a CBIC certification.

## 6.2 Americans with Disabilities Act Accommodations

Policy: CBIC abides by the Americans with Disabilities Act of 1990 and any subsequent amendments to the act.

Procedure:

1. Examinations are constructed in such a way as to measure the knowledge necessary to practice infection control.
2. CBIC assures that the entity that administers the certification examination is in compliance with ADA standards.
3. The entity administering the examination offers the examination in an accessible location.
4. There is an opportunity for the applicant with a disability to clearly state disability needs in the application process with consideration on an individual basis. Such requests for special accommodations must be completed by submitting the appropriate forms that accompany the application to the CBIC Executive Office.
5. Verification of disability by a physician and statement of assistance needed must be included on the form.

6. The administering agency establishes a simple process to ensure that test center personnel is prepared to make appropriate and reasonable accommodations available to persons with disabilities.
7. Applicants with disabilities are entitled to and have the responsibility to meet the same deadlines for applications and submission of documentation established for pre-registration of non-disabled individuals.

### **6.3 Language Requirements**

Policy: The initial certification examination is offered in English. The recertification examination is offered in English. The associate level exam is offered in English.

### **6.4 Receipt of Score Reports**

Policy: CBIC's goal is to create scored forms of any examination using only previously used or pre-tested items with appropriate statistical characteristics, which leads to instant issuance of score reports.

Procedure:

1. Candidates taking the proctored computer-based examinations receive their score reports at the testing center after completing and submitting the examination. Scores are not reported over the telephone, by email or by fax. Candidates taking the web-based recertification examination receive their pass/fail indicator screen immediately upon expressing their decision to score the examination.
2. No scores are given over the telephone.
3. Individual scores are NOT sent to employers, schools or other individuals without express written consent from the certificant.

### **6.5 Examination Challenges**

Policy: Any challenges to the examination must be submitted to CBIC in writing by the candidate presenting the challenge ("challenger") within thirty (30) days after the examination results are received. Verbal challenges are not processed.

Procedure:

1. The challenger must provide as much detail as possible in writing concerning the exact nature of the challenge.
2. All challenger correspondence should be forwarded upon receipt to the Exam Advisory Committee (EAC).
3. The Executive Director provides the challenger with general information on the challenge process.

4. If the EAC considers the challenge to warrant action by the Testing Company, then the Testing Company is promptly notified. Copies of the challenge correspondence are forwarded to the Testing Company.
5. Candidate comments collected on the day of testing are not considered as challenges, but are addressed separately.

### **6.5.1 Procedures for Various Types of Potential Challenges**

Policy: If a potential scoring error is detected that may affect any candidate's pass/fail determination, the Testing Company immediately notifies the Executive Office who informs the Exam Advisory Committee (EAC).

Procedure:

1. The Testing Company submits a summary of information related to the review of the challenged item(s) to the Management staff who forward it to the EAC.
2. The EAC reviews the summary. The conclusions and supporting data are forwarded to and discussed with the legal counsel, if appropriate. A joint decision is made about notification of results to the challenger.
3. If the challenger does not accept the CBIC's decision, they must notify the CBIC President. The CBIC President informs the challenger in writing that any further appeals must be addressed to CBIC legal counsel.

### **6.5.2 Response to Candidate Comments on Day of Examination**

Policy: Responses to candidate comments on testing conditions collected while taking the test are reviewed by the Testing Company. Candidate comments on individual items are reviewed by the Testing Company and considered as a part of the item analysis (IA) procedure, and discussed with Test Committee representatives on at least a quarterly basis.

Procedure:

1. Comments on testing conditions and individual items are forwarded to the Management staff.
2. If necessary, the CBIC President is notified about the testing condition comments and a plan of action is identified.

### **6.5.3 Financial Obligations Relating to Challenge**

Policy: Expenses incurred as a result of a challenge are the responsibility of the Testing Company, CBIC or the challenger as determined by either contractual agreement or as stated in the CBIC policies and procedures.

Procedure:

1. Testing Company: The financial obligations of the Testing Company are as outlined in the CBIC/Testing Company contractual agreement.

2. CBIC: Consultation fees assessed by CBIC legal counsel are the responsibility of CBIC.
3. Challenger: Expenses incurred by a candidate (postage, attorney's fees, travel, etc.) in the pursuit of a challenge are their responsibility unless either CBIC, the Testing Company, or both agree to assume all or part of the candidate's expenses, or if the challenger is awarded reimbursement of expenses by a court of law.

## **6.7 Disciplinary Actions Prompting the Judicial and Ethics Process**

Policy: Disciplinary action may be taken against certificants for, but not limited to, the following: falsification of an application; violation of examination procedures; or misrepresentation of certification status. A copy of the judicial process may be found on the CBIC website or obtained from the CBIC Executive Office upon request.

### Procedure:

1. Written complaints from individuals are accepted only if they are signed. No action is taken if the complaint is not signed.
2. If an initial complaint is accepted by the JEC, the complainant is required to authorize the disclosure of all information reasonably related to the complaint to the charged party.
3. There may be times when written complaints are not required, such as in judicial or regulatory proceedings against a charged party that allege or determine an act of misconduct.
4. The JEC is able to act upon such credible evidence that they may become aware of without the necessity of a formal, written complaint.