



## **CEFEX Complaint Procedure**

### **Version 1.0**

#### **1.0 Introduction**

The purpose of the CEFEX Complaint Procedure is to address complaint(s) against a CEFEX-certified firm and determine what action, if any is required. The CEFEX Registration Committee (CRC) shall make all decisions regarding complaints, and oversees the process, as described below.

#### **2.0 Request for Investigation**

Receipt of a written complaint is considered to be a request for an investigation. A copy of the complaint shall be furnished to the CEFEX-certified firm. The CRC shall review the complaint to determine whether an investigation is warranted. That determination shall be made in writing with a response to the Complainant and the CEFEX certified firm.

#### **3.0 Investigation**

If further investigation is recommended, the CEFEX certified firm is given 30 days to file a written response to the complaint. Upon receipt of the response, the matter is referred to the CRC for review. If no response is received within the allotted 30 days, the matter is referred to the CRC based on the information as provided by the Complainant.

#### **4.0 Role of CEFEX Registration Committee**

The CRC shall be convened, including the CEFEX Analyst who conducted the most recent assessment on the CEFEX certified firm. The CRC and Analyst will consider all materials furnished by the Complainant and the CEFEX certified firm. After review, the CRC will either: (1) refer the matter to a Hearing Panel; or (2) have the Analyst issue a Non-Conformance Report (NCR) to the CEFEX certified firm, which may require an on-site assessment for clearance; or (3) have the Analyst issue an Opportunity for Improvement (OFI) which would not require immediate clearance by the CEFEX certified firm, but would be addressed at the subsequent renewal assessment; or (4) dismiss the Complaint without action. The decision taken by the CRC shall be communicated to the Complainant and the CEFEX certified firm, by the CEFEX General Manager.

## **5.0 Role of Hearing Panel**

The Hearing Panel shall consist of three or more persons from the CRC. A representative of the CEFEX certified firm is entitled to appear in person and/or to be represented by counsel, and may present evidence on his or her behalf, as well as cross-examine any witnesses. The Hearing Panel shall determine by majority vote of the CRC members, whether or not a nonconformance report is warranted and/or any other recommendations.

## **6.0 Nonconformance Process**

The CEFEX nonconformance handling process is fully documented in the CEFEX Assessment Procedure. In summary, a nonconformance is described as a serious deficiency demonstrating a lack of adherence to a practice in the relevant Standard. The firm has 90 days to correct the deficiency, thereby avoiding suspension of registration.

## **7.0 Appeals Process**

A CEFEX certified firm has the right to appeal the decision of the CRC by requesting a Hearing Panel. The Hearing Panel shall review the matter and render a decision, which shall be final.

## **8.0 Submitting a Complaint**

To submit a complaint, please send a letter to the General Manager of CEFEX, along with any pertinent information surrounding the circumstances of the complaint, including photocopies of relevant letters, contracts, agreements or other documents. The CRC will request additional information if needed.

The public should be aware of normal remedies under state and federal laws and regulations with applicable regulatory bodies and also avail themselves of other avenues. The Complainant should pursue such remedies, as applicable. The findings and actions of appropriate regulatory bodies will be given due consideration by the CRC.