



CERTIFICATION BOARD  
OF INFECTION CONTROL  
AND EPIDEMIOLOGY, INC.

# **Policy & Procedure Manual**

*Revised June 2005*

## Table of Contents

### **Section I Certification Board of Infection Control and Epidemiology, Inc. bylaws and governance**

#### **Category 1.0 CBIC bylaws**

|     |   |   |
|-----|---|---|
| 1.1 | Quorum, voting and amendments to the bylaws | 6 |
| 1.2 | Addendum – Bylaws                           | 7 |

#### **Category 2.0 CBIC board member**

|     |   |    |
|-----|---|----|
| 2.1 | Nominations and selection                               | 12 |
| 2.2 | CBIC director reappointment for second consecutive term | 12 |
| 2.3 | Professional requirements                               | 13 |
| 2.4 | Terms of office   | 13 |
| 2.5 | Certification eligibility                               | 13 |

#### **Category 3.0 CBIC officers, standing committees and coordinators**

|      |   |    |
|------|---|----|
| 3.1  | Nomination and election of officers         | 14 |
| 3.2  | President                                   | 14 |
| 3.3  | President-elect                             | 16 |
| 3.4  | Past-president                              | 16 |
| 3.5  | Treasurer                                   | 17 |
| 3.6  | Secretary                                   | 18 |
| 3.7  | Committees & Chairperson Responsibilities   | 18 |
| 3.8  | Administrative committee                    | 19 |
| 3.9  | Strategic planning committee                | 19 |
| 3.10 | Budget and finance committee                | 20 |
| 3.11 | Test committee                              | 21 |
| 3.12 | Policy and bylaws committee                 | 22 |
| 3.13 | Marketing Committee Chairperson/coordinator | 22 |
| 3.14 | Governmental Affairs Committee              | 22 |
| 3.15 | Public consumer director                    | 23 |

#### **Category 4.0 Functional relationship with the Association for Professionals in Infection Control and Epidemiology, Inc. (APIC)**

|     |                                |    |
|-----|--------------------------------|----|
| 4.1 | APIC as sole member of CBIC    | 24 |
| 4.2 | APIC liaison to the CBIC board | 26 |

#### **Category 5.0 Professional organizational affiliations**

|     |                       |    |
|-----|-----------------------|----|
| 5.1 | liaison relationships | 26 |
|-----|-----------------------|----|

# Table of Contents

## **Category 6.0 Professional memberships**

|     |   |    |
|-----|---|----|
| 6.1 | National Commission of Certifying Agencies (NCCA)     | 27 |
| 6.2 | National Organization for Competency Assurance (NOCA) | 28 |

## **Section II Operational policies and procedures**

### **Category 1.0 Professional management**

|     |   |    |
|-----|---|----|
| 1.1 | Contract  | 30 |
| 1.2 | Accountability/responsibilities   | 30 |
| 1.3 | Administrative committee, standing committees and board support                         | 30 |
| 1.4 | Communication   | 31 |
| 1.5 | Certification inquiries and correspondence  | 31 |
|     | 1.5.1 General communications  | 32 |
|     | 1.5.2 Recertification communications  | 32 |
|     | 1.5.3 Examination fee refund requests   | 32 |
|     | 1.5.4 Self-Assessment Recertification Examination (SARE) processing                     | 33 |
|     | 1.5.5 SARE refunds  | 34 |
| 1.6 | Public inquiries  | 34 |
| 1.7 | Publication and processing of the Candidate Handbook and applications for certification | 34 |
|     | 1.7.1 Candidate handbook  | 34 |
|     | 1.7.2 Application process   | 34 |
|     | 1.7.3 Certification eligibility waiver process  | 35 |
|     | 1.7.4 Result processing   | 36 |
|     | 1.7.5 Passer Verification   | 36 |
| 1.8 | Information and data management   | 37 |
|     | 1.8.1 Archives  | 37 |
|     | 1.8.2 Correspondence  | 38 |
|     | 1.8.3 Board meeting minutes   | 38 |
|     | 1.8.4 Web site management   | 39 |
| 1.9 | Financial management  | 39 |
|     | 1.9.1 Five-year operational budget  | 40 |
|     | 1.9.1.1 Investment plan   | 40 |
|     | 1.9.2 Operational (annual) budget   | 40 |
|     | 1.9.3 Budget variance   | 41 |
|     | 1.9.4 Capital equipment   | 42 |
|     | 1.9.5 Financial statements  | 42 |
|     | 1.9.6 Issuing reimbursements  | 43 |
|     | 1.9.7 Charitable donations  | 43 |
|     | 1.9.8 Product sales   | 44 |
|     | 1.9.9 Mailing labels  | 44 |

## Table of Contents

|      |  |    |
|------|--|----|
| 1.10 | Board meeting management                               | 45 |
| 1.11 | Strategic planning, business plan, and annual calendar | 45 |
| 1.12 | Marketing  | 46 |
| 1.13 | Performance evaluation process                         | 46 |
| 1.14 | Contract renewal process                               | 47 |

### **Category 2.0 Professional test development**

|      |  |    |
|------|--|----|
| 2.1  | Contract   | 47 |
| 2.2  | Accountability/responsibility                                      | 48 |
| 2.3  | Test committee   | 48 |
| 2.4  | Communication  | 48 |
| 2.5  | Practice analysis  | 49 |
| 2.6  | Use of Practice analysis data                                      | 50 |
| 2.7  | Item development, review and banking                               | 51 |
| 2.8  | Proctored test form development                                    | 52 |
| 2.9  | SARE test form development   | 53 |
| 2.10 | Proctored examination administration                               | 54 |
| 2.11 | SARE administration for self-assessment and recertification        | 54 |
| 2.12 | Contact Hours for Nursing Continuing Education Credit for the SARE | 55 |
| 2.13 | Item and test performance analysis                                 | 56 |
| 2.14 | Cut score determination and equating                               | 57 |
| 2.15 | Establishment of a pass/fail database                              | 58 |
| 2.16 | Test and item security   | 58 |
| 2.17 | Individual test result security                                    | 59 |
| 2.18 | Candidate Handbook publication                                     | 60 |

### **Category 3.0 Other contractual agents**

|     |               |    |
|-----|---------------|----|
| 3.1 | Legal counsel | 60 |
| 3.2 | Auditor       | 61 |

### **Category 4.0 CBIC board operations**

|     |   |    |
|-----|---|----|
| 4.1 | CBIC board of director meetings                               | 62 |
| 4.2 | Board meeting agenda  | 63 |
| 4.3 | CBIC committee meetings                                       | 64 |
| 4.4 | CBIC meeting attendance                                       | 65 |
| 4.5 | CBIC communications, confidentiality and conflict of interest | 66 |
|     | 4.5.1 Communications  | 66 |
|     | 4.5.2 Confidentiality   | 66 |
|     | 4.5.3 Conflict of interest                                    | 67 |

## Table of Contents

### **Category 5.0 Judicial ethics process**

|     |  |    |
|-----|--|----|
| 5.1 | Purpose of the judicial ethics process | 68 |
| 5.2 | Types of complaints                    | 69 |
| 5.3 | Investigation procedure                | 69 |

### **Category 6.0 Certification process and logistics**

|      |  |    |
|------|--|----|
| 6.1  | Eligibility  | 72 |
| 6.2  | Eligibility waiver   | 73 |
| 6.3  | Examination application process                            | 73 |
| 6.4  | Application verification audit                             | 74 |
| 6.5  | Admission ticket and legal identification, written exams   | 74 |
| 6.6  | American Disabilities Act accommodations                   | 75 |
| 6.7  | Language requirements                                      | 75 |
| 6.8  | Receipt of score reports                                   | 76 |
| 6.9  | Examination challenges                                     | 76 |
|      | 6.9.1 Procedures for various types of potential challenges | 77 |
|      | 6.9.2 Response to candidate comments on day of examination | 79 |
|      | 6.9.3 Financial obligations relating to challenge          | 80 |
| 6.10 | Disciplinary actions prompting the judicial ethics process | 80 |

### **Category 7.0 Recertification and process for failed candidates**

|     |  |    |
|-----|--|----|
| 7.1 | Recertification                                  | 80 |
| 7.2 | Process to gain CIC status for failed candidates | 80 |

### **Category 8.0 Awards**

|     |                        |    |
|-----|------------------------|----|
| 8.1 | Chapter Awards         | 81 |
| 8.2 | CBIC Achievement Award | 81 |

### **Appendix**

|  |  |    |
|--|--|----|
|  | Public Member Declaration Form (Sect I, 3.13.1)                      | 84 |
|  | Investment Guidelines (Sect I 3.5)                                   | 85 |
|  | Item review participant conflict of interest form (Sect. II, 2.16.1) | 95 |
|  | Application Waiver Sample Response Letter (Sect. II, 6.4.1)          | 96 |
|  | Eligibility Waiver Application – Description                         | 97 |

## **Table of Contents**

|  |     |
|--|-----|
| Eligibility Waiver Application – Instructions                      | 99  |
| Eligibility Waiver Application - Form A                            | 100 |
| Eligibility Waiver Application - Form B                            | 101 |
| Eligibility Waiver Application – Application Form                  | 102 |
| Eligibility Waiver Application - Review Checklist                  | 103 |
| Continuing Education Evaluation for Eligibility Waiver Application | 104 |
| Conflict of Interest, CBIC members, Form (Sect. II, 4.5.3.1)       |     |
| 105  |     |
| Attachment to Conflict of Interest Form -_Sample Letter            | 106 |
| Application Verification Audit Form (Sect. II, 6.4.1)              |     |
| 107  |     |
| CBIC Certification Award (APIC Chapter)                            | 108 |
| CBIC Certification Award (Scoring Sheet)                           | 109 |
| CBIC Achievement Award (Form)                                      | 110 |
| Position Description for Executive Director                        | 113 |
| Application for Consumer Director                                  | 115 |
| Procedure for Application for Consumer Director                    | 117 |
| <br>   |     |
| Sample Management Services Performance Evaluation Form             | 119 |

## **SECTION I Certification Board of Infection Control and Epidemiology, Inc. bylaws and governance**

### **Category 1.0 CBIC Bylaws**

#### **1.1 Quorum, Voting and Amendments to the Bylaws.**

Policy: The bylaws contain the basic rules that relate to itself as an organization.

Procedure:

1. Quorum. Ten (10) members of the full Board of Directors shall constitute a quorum for the transaction of business at any meeting of the Board.
2. Voting. All Directors shall be voting members of the Board. The decision of a majority of the Directors shall govern and control the transaction of business at every meeting in which there is a quorum of Directors present.
3. Amendment to the Bylaws. Except as provided in Article III, the bylaws may be amended by two-thirds (2/3) of the Board of Directors provided that at least thirty (30) days written notice be given to the members of the Board of Directors prior to the time at which the amendments are to be voted on, stating the time, place and nature of the amendment(s) to be voted on.

## 1.2 CBIC Corporate Bylaws

### BYLAWS OF CERTIFICATION BOARD OF INFECTION CONTROL AND EPIDEMIOLOGY, INC.

#### ARTICLE I - NAME

The name of the Corporation is: CERTIFICATION BOARD OF INFECTION CONTROL AND EPIDEMIOLOGY, Inc. (CBIC or Corporation).

#### ARTICLE II - MISSION AND PURPOSE

Section 1 - Mission. The CBIC, Inc. is a voluntary autonomous multidisciplinary board, which provides direction for and administers the certification process for infection control professionals. The mission of CBIC is to develop and administer a certification process designed to measure knowledge mastery of infection prevention and control and applied epidemiology.

Section 2 - Purpose. To engage in any and all lawful activities in implementation of the foregoing purposes and to exercise all powers and authority now or hereafter conferred upon nonprofit corporations under the laws of the Commonwealth of Massachusetts.

The corporation shall not engage in any regular business ordinarily carried on by business for profit nor shall its assets, benefits or net earnings on assets inure to the benefit of any member or individual (but this shall not prevent payment of reasonable compensation nor distributions in furtherance of purposes) nor shall it carry on activity not permitted exempt organizations under Section 501(c)(6) of the Internal Revenue Code of 1986 as may from time to time be amended.

#### ARTICLE III - MEMBERSHIP

Section 1 - Qualification of Members. The sole Member of this Corporation shall be the Association for Professionals in Infection Control and Epidemiology, Inc., a not-for-profit corporation organized and existing under laws of the Commonwealth of Massachusetts.

Section 2 - Rights of Member. The Member shall have the right to appoint the Board of Directors except as provided in Article IV, Section 5(b) hereof. In addition, any proposed amendments to this Article III or Article IV, Section 5, must be authorized by and shall be effective only upon the written assent of the Member. The Member shall have only the rights conferred in the Article III and no others.

Section 3 - Transfer of Membership. No membership may be assigned or transferred or encumbered in any manner whatsoever, either voluntarily, involuntarily or by operation of law. Any proposed or attempted assignment, transfer or termination of membership shall be void. Provided, however, that the merger, consolidation or change in the identity of the Member without a corresponding change in the purposes of the Member or the successor organization shall not constitute a transfer or assignment under this Article III.

#### ARTICLE IV - BOARD OF DIRECTORS

Section 1 - General Powers. Except as otherwise provided by the Articles of Incorporation or these Bylaws, the powers of the corporation shall be exercised, its property controlled and its affairs conducted by the Board of Directors.

Section 2 - Composition. Except as otherwise provided in this section, the Board of Directors shall be composed of no less than thirteen (13) (including the Consumer Director) but no more than fourteen (14) Directors who shall be appointed by the Member or as set forth in Article IV, Section 5a hereof as follows:

- (a) At least one (1) Director shall at all times be a medical doctor.
- (b) At least one (1) Director shall at all times be a medical technologist or medical

- microbiologist with a baccalaureate and a laboratory medicine background.
- (c) At least one (1) Director shall have a master's degree or higher in the field of education.
  - (d) At least four (4) Directors shall at all times be registered nurses.
  - (e) At least one (1) Director shall practice infection control in Canada.
  - (f) At least one (1) Director shall practice infection control in a non acute care setting defined as community health, home health, ambulatory care or others, including consultants.
  - (g) At least one (1) Director shall practice infection control in the long-term care setting defined as skilled care facility, mental health or correctional facility.
  - (h) At least one (1) Director shall at all times be a public consumer (hereinafter Consumer Director).
  - (i) All Directors other than the Consumer Director shall be certified in infection control.

Any director may fulfill one or more of these criteria set forth in this section.

Directors of the CBIC cannot serve on the Member Board of Directors at the same time. The Board of Directors of the Member shall elect the Board of Directors of the CBIC at a duly called meeting no later than two (2) months prior to the beginning of the terms of office. Results of the election shall be received from the Member disseminated by the Secretary of the Corporation.

Section 3 - Quorum. Ten (10) members of the full Board of Directors shall constitute a quorum for the transaction of business at any meeting of the Board.

Section 4 - Voting. All Directors shall be voting members of the Board. The decision of a majority of the Directors shall govern and control the transaction of business at every meeting in which there is a quorum of Directors present.

Section 5 - Terms of Office.

(a) Board of Directors. Directors appointed by the Member shall hold office from the first of January next following their election.

Unless earlier removed, each Director shall serve a term of three (3) years or until their successor is duly elected and qualified.

Thirteen (13) three (3) year Directors shall be elected in alternative years so that four (4) to five (5) Directors shall be elected each year. In addition, the Consumer Director shall be elected every other year to a term beginning every even year. The election of Directors to fill unexpired terms shall not be counted for the purposes of interpreting the number of Directors that need to be elected by the Member in any year; the election of Directors to fill those unexpired terms shall be in addition to that specified above.

(b) In the event that the President-Elect and/or President is to serve as President or Past President, respectively, following the expiration of his or her Member appointed term, the Board of Directors shall be expanded to include such persons and the number shall increase to fourteen (14) or fifteen (15) to accommodate such officers, but no other officer. The President and Past President so included shall be full-voting members of the Board.

(c) Successive Terms. No person may serve as a Director for more than two (2) terms without at least a two-year interim before serving again.

Section 6 - Vacancy. In the event of a vacancy on the Board of Directors, the remaining Directors shall appoint a Successor Director. The Successor Director shall serve a short term expiring on the thirty-first day of December following his or her appointment. The Member shall then fill the vacancy for the remainder of the unexpired term.

Section 7 - Removal of Directors. Any Director may be removed with or without cause by a vote of three-quarters (3/4) of the Board of Directors then in office.

Section 8 - Meetings. An annual meeting of the Board of Directors shall be held on the third Friday in January or on such other date as is designated by the President in a written notice sent to each of the Directors of the Board of Directors at least thirty (30) days before said designated date. Other meetings of the Board of Directors may be called by the President or a majority of the Directors on the Board of Directors upon thirty (30) days written notice sent to each Director.

#### ARTICLE V - OFFICERS

Section 1 - Composition. The Officers of the Corporation shall be a President, President-Elect, Past President, Secretary, and a Treasurer simultaneously. The Corporation may also have, at the discretion of the Board, one (1) or more Vice Presidents, President-Elect, Assistant Secretaries and Assistant Treasurers. All Officers must be members of the Board of Directors. No person may hold two (2) or more of the offices specified in this Article V, Section 1, simultaneously.

(a) Term. The Officers elected by the Board of Directors shall have a term of office beginning with January 1 and ending with the last day of December following the date of appointment, unless sooner terminated as herein provided, except that if the Board shall elect a President-Elect, that person shall assume the office of President in the day following the expiration of his or her term as President-Elect until the December 31, following.

(b) Early Termination. Notwithstanding anything to the contrary herein provided an Officer may hold office for a shorter period than is provided in this Article V, Section 2, due to the resignation of the Officer or the removal of the Officer by the Board of Directors.

Section 2 - Consecutive Terms. No person may serve as an officer specified in Article V, Section 1, in the same office for more than two (2) consecutive terms.

Section 3 - Selection. Except as provided in Section 1 of this Article V, the Officers of the Corporation shall be selected annually by the Board of Directors, and each shall hold office until he or she shall resign, be removed or otherwise disqualified to serve, or a successor shall be selected.

Section 4 - Removal. Officers may be removed from office with or without cause by the Board of Directors at a meeting called at least in part for the purpose of considering removal, upon the affirmative vote of a majority of the Board of Directors then in office. The removal of an Officer shall in no event affect the status of the individual as a Director.

Section 5 - President. The President shall be principal executive officer of the Corporation and shall exercise the general powers and responsibilities applicable to the office of President subject of the direction and control of the Board. The President shall preside at all meetings of the Board and shall be an ex-officio member without vote on all committees of the Board.

(a) The President shall have the authority, subject to the approval of the Board of Directors, to appoint Administrative, Standing or Special Committees for any purpose and, if such committees are comprised solely of Directors, delegate to such committees any of the powers and authority of the Board, except the powers and authority as may be prohibited by law. Such committees shall have power to act only in intervals between meetings of the Board and shall at all times be subject to the control of the Board. No act of a committee shall be valid unless approved by the vote or written consent of a majority of its members. Committees shall keep regular minutes of proceedings and report the same to the Board from time to time as the Board may require. Any committee composed of persons, one or more of who are not Directors, may act solely in an advisory capacity to the Board.

(b) Administrative Committee. Shall consist of three (3) members of the Board of Directors; the President, the President-Elect, and the Treasurer. Shall make all necessary decisions, between Board meetings, to insure the continuous functioning of the organization subject to final approval of the Board of Directors.

Section 6 - President-Elect. The President-Elect shall assist the President, shall discharge the duties of the President-Elect as the President may direct, and shall perform such other duties as the President may from time to time assign. The newly elected President-Elect shall become a member of the Test Committee in the year preceding

his or her Presidency. In the absence of the President, or in the event of the President's inability or refusal to act, the President-Elect shall perform the duties of the President.

Section 7 - Past President. The Past President shall serve in an advisory capacity to the President, assisting and performing such other duties as the President may assign.

Section 8 - Treasurer. The Treasurer shall be the principal accounting and financial officer of the corporation, shall have charge of and be responsible for the maintenance of adequate books, shall have charge and custody of all funds and securities and be responsible therefore and shall deposit all funds and securities in such banks, trust companies or other depositories as selected by the Board. The Treasurer shall be bonded.

Section 9 - Secretary. The Secretary shall keep minutes of the meetings of the Board, shall see that all notices are duly given in accordance with the applicable statutes, Articles of Incorporation, and Bylaws, shall be custodian of the corporate records and seal, shall keep records of addresses of individual board members, and shall perform such other duties that are incidental to the office of Secretary.

Section 10 - Assistant Secretaries and Assistant Treasurers. The Assistant Secretaries and the Assistant Treasurers, if appointed by the Board shall in the absence or disability of the Secretary or Treasurer, respectively, perform the duties and exercise the powers of the Secretary or Treasurer and shall perform such other duties as the Board shall prescribe.

#### ARTICLE VI - GENERAL PROVISIONS

Section 1 - Budget. The corporation shall set its own budget, maintain an accounting of its funds, and set fees.

Section 2 - Checks, Drafts, etc. All checks, drafts, or other orders for payment of money, notes or other evidences of indebtedness issued in the name of or payable in the Corporation and any and all securities owned or held by the Corporation requiring signature for transfer shall be signed or endorsed by such person or persons and in such manner as from time to time shall be determined by the Board of Directors.

Section 3 - Execution of Contracts. The Board of Directors, except as in these Bylaws otherwise provided, may authorize one or more officers, agents or employees to enter into any contract or to execute any instrument in the name of and on behalf of the Corporation, and such authority may be general or confined to specific instances and, unless so authorized by the Board no officer, agent or employee shall have any power or authority to bind the Corporation by any contract or engagement, to pledge its credit or to render it liable for any purpose or in any amount.

Section 4 - Compensation of Directors and Officers. The Directors and Officers of the Corporation shall serve without compensation unless compensation is authorized from time to time by the Board for services rendered other than for being a Director or Officer.

Section 5 - Fiscal Year. The fiscal year of the Corporation shall begin on the first day in January and end on the last day of December of each calendar year.

Section 6 - Waiver of Notice. Whenever any notice is required to be given under an application statute, the Articles of Incorporation or these Bylaws, waiver thereof in writing and signed by the persons entitled to such notice, whether before or after the time stated therein, shall be the equivalent to the giving of such notice.

Section 7 - Indemnification. Each Director and Officer of the Corporation, whether or not then in office, may be indemnified by the Corporation against all costs and expenses reasonably incurred by or imposed upon him or her in connection with or arising out of any transaction, action, suit or proceeding in which he or she may be a party by reason of being or having been a Director or Officer of the Corporation, such expenses to include the cost or reasonable settlements (other than amounts paid to the Corporation itself) made with a view to curtailing costs of litigation. The Corporation shall not, however, indemnify any Director or Officer with respect to matters to which said Director or Officer shall be finally adjudged in any such action, suit, or proceeding to have been derelict in the performance of his or her duty as such Director or Officer or in respect of any matter on which any settlement or compromise is effective, if the total expense, including the cost of such settlement, shall substantially exceed the

expense which might reasonably be incurred by such Director or Officer in conducting such litigation to a final conclusion. The foregoing right of indemnification shall not be exclusive of other rights to which any Director or Officer may be entitled as a matter of law. In determining the extent to which the Corporation will indemnify an Officer or Director, the judgment of the Board of Directors shall be final.

#### ARTICLE VII - ADMINISTRATIVE INDEPENDENCE

The Corporation shall be administratively independent in all matters of certification. Examination eligibility, content, construction, scoring, challenges and waiver is the responsibility of the Corporation.

#### ARTICLE VIII - AMENDMENTS TO THE BYLAWS

EXCEPT AS PROVIDED IN ARTICLE III, the Bylaws may be amended by two-thirds (2/3) of the Board of Directors provided that at least thirty (30) days written notice be given to the members of the Board of Directors prior to the time at which the amendments are to be voted on, stating the time, place and nature of the amendment(s) to be voted on.

Amended June 17, 2005

## **SECTION I (continued)**

### **Category 2.0 CBIC board member**

#### **2.1 Nominations and selection of CBIC board of Directors**

Policy: The CBIC board of directors will be appointed by the Association for Professionals in Infection Control and Epidemiology, Inc. (APIC)

Procedure:

1. The CBIC President will notify the APIC president of the number and composition of directors needed for the next calendar year by March 1.

The CBIC president will notify all certificants early each year as to the number of CBIC Board position openings

2. CBIC Board packets with applications will be available at the CBIC booth at the APIC and Community and Hospital Infection Control Association-Canada (CHICA) educational conferences and other appropriate educational conferences.
3. CBIC Board applications will be processed by the APIC nominating committee using a candidate-scoring tool.
4. APIC will notify the CBIC president of the newly appointed CBIC directors and send their application materials to the CBIC executive office. The CBIC executive office will forward names, addresses and qualifications to the president for presentation of their names and brief background to the CBIC board. The executive office will forward the curriculum vitae to the president-elect in order to evaluate their strengths for CBIC committee placement.
5. The CBIC president will send a letter to the newly appointed CBIC directors in November to congratulate them on their appointment. The CBIC president elect will send 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.

#### **2.2 CBIC director reappointment to second consecutive term**

Policy: A CBIC Board Director may seek a second consecutive term, however, the director must be re-appointed by the APIC selection committee.

Procedure:

1. A CBIC director whose term of office is due to expire at the end of the year and who wishes to seek a second consecutive term will inform the APIC Nominating Committee of their interest in continuing by the deadline date, after which he/she will be sent an electronic copy of his/her previously completed application. The person will need to revise any portion(s) requiring change and return it to the APIC Nominating Committee along with the three reference letters; one of these letters should be from the CBIC president or designated CBIC

Administrative Committee member and should reflect the Board member's contributions and attendance during their first term on the Board.

### **2.3 CBIC director professional requirements**

Policy: CBIC board member requirements are defined in the CBIC bylaws and published annually in the Candidate Application Handbook.

Procedure:

1. CBIC will evaluate the composition of the BOD as defined in the CBIC bylaws during to the first meeting of the year to determine if the composition best represents professionals practicing in the field of infection control and epidemiology.

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.

### **2.4 Terms of office**

Policy: Thirteen to fourteen CBIC directors will serve three-year terms (4 to 5 years for directors serving as president).

Procedure:

1. CBIC board members are appointed each year for a three-year term of office, using the APIC/CBIC Application review and scoring tool.
2. A president-elect may be elected at the end of their first or second year in their term. This individual will serve as president-elect, president, and past-president in the next three years, thereby extending their term to 4 or 5 years.
3. Every odd-numbered year, a consumer director is selected by APIC for a two-year term of office (begins in even numbered year).

### **2.5 Certification eligibility**

Policy: CBIC liaisons and CBIC directors are not eligible for recertification 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 two-year period.
2. At the liaisons or directors last board of directors meeting, a new certificate will be issued reflecting expiration on 12/31 – three (3) years from the end of their term.

3. Directors and liaisons must recertify during the third year following completion of their term in order to remain certified.
4. Management will update the certificants database to reflect the updated expiration date.

### **Category 3.0 CBIC officers, standing committees, and coordinators**

#### **3.1 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. The APIC liaison or designee appointed by the CBIC president will facilitate the nominations and election process for CBIC officers. Sixty days (60) prior to the fall board meeting, the CBIC president will notify the APIC liaison to initiate the nominations process for CBIC officers.
2. Nominations will be solicited for the offices of president elect, treasurer and secretary. Willingness to run will be confirmed by the nominee prior to finalizing the ballot. Nominations from the floor will be accepted at the fall board meeting.
3. Officers will be elected in the following order: president-elect, treasurer and secretary. Voting will take place by written ballot and will be tallied by the APIC liaison or designee at the fall Board meeting. Proxy votes are not recognized.
4. The vote will be determined by 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 contenders will be held if necessary. Presidential vote will be counted only as a tiebreaker.

#### **3.2 Office of president**

Policy: The president is responsible to the CBIC board of directors for the administration, direction, and coordination of all CBIC activities.

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 administrative 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. Coordinates the development of administrative committee reference letters for CBIC directors seeking additional terms.
- g. Appoints all committee chairs and reviews selection of committee members prior to board approval.
- h. Directs the activities of the CBIC management firm and testing agency in accordance with approved CBIC policy and procedures and performance criteria.
- i. Coordinates or designates coordination of the board evaluation of the performance of all contractual agencies (management, legal counsel, accountant, and testing agency) annually.
- j. Represents CBIC at approved liaison and other sanctioned public functions.  
Speaks as the sole voice of the CBIC board.

3. Communication Responsibilities:

a. External functions

- 1. Acts as a liaison to APIC. Prepares the CBIC activities report for the APIC and CHICA board of directors.
- 2. Officially represents CBIC at meetings with APIC, CHICA, 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 administrative 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.

4. Policy development responsibilities:

- a. Guides the development and formulation of official policy as needed.
- b. Monitors CBIC progress toward meeting goals and timetables as defined in the CBIC strategic plan
- c. Prepares or approves all official reports.

5. Financial responsibilities:

- a. Participates in the annual budget process.
- b. Is a signatory on the CBIC bank accounts.
- c. Monitors CBIC budget reports between board meetings.
- d. Submits the board-approved audited financial report to the APIC President after the fall Board meeting (for information only – not for further distribution).

### **3.3 Office of president-elect**

Policy: 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 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 administrative committee.
- b. Chairs the board meetings and administrative committee meetings in the absence of the president.
- c. Serves as member of the test committee while president elect.
- d. Assists the president in coordinating the orientation of new board members at the January board meeting.
- e. Utilizes the term as president elect to familiarize him/herself with the operations of the board.
- f. Serves as parliamentarian
- g. Performs duties as directed by the president.
- h. Sets meeting dates for year of Presidency

### **3.4 Office of past president**

Policy: The past president will provide information and assistance to the board in decision-making and policy development.

Procedure:

- 1. Qualifications: 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. Chairs and/or serves on CBIC committee(s) at the discretion of the president.
- d. Provides guidance when requested to the administrative committee.
- e. Participates with the president in the coordination of the board evaluation of the performance of all contractual agencies (management, legal counsel, accountant, and testing agency) annually.

### **3.5 Office of treasurer**

Policy: The treasurer oversees the financial activities of the CBIC. Works with the executive director to maintain a strong financial position and develop long term financial planning in accordance with the Strategic Plan.

Procedure:

1. Qualifications:
  - a. Has basic knowledge of accounting principles.
  - b. Has the ability to ascertain CBIC's financial health.
  
2. Financial responsibilities:
  - a. Monitors all financial transactions in collaboration with Executive Office in accordance with approved operational budget.
    1. Refer to Section II, Operational Policies and Procedures.
    2. Reviews the CBIC board's general ledger.
    3. Monitors income by reviewing monthly financial statements and the general ledger.
    4. Manages disbursements by:
      - a. Reviewing quarterly committee budget status reports prior to distribution to committee chairs.
      - b. Reviewing expense vouchers and approves reimbursement according to established policies.
      - c. Reviewing vouchers for payment, approving and/or signing checks and distributing checks prepared by the CBIC Executive Office.
      - d. Reviewing monthly financial statements from management, summarizing status for the Administrative Committee.
      - e. Monitoring and authorizing monies to be transferred to and from savings accounts and/or money funds, as necessary per approved budget directions and policies.
      - f. Maintaining liaison with the CBIC account coordinator.
  
  - b. Serves as a member of the strategic planning, budget and finance, and administrative committees.
    1. Works with executive management to maintain a strong financial position and develop a long term financial strategy and operational budget.

2. Assists executive management in the coordination and development of an annual budget in its review and approval by the board.
3. Work with the auditor in assessing the annual financial condition of CBIC and ensuring compliance with all federal and state reporting requirements.
4. Communicates instructions related to investment instruments to executive management in writing.

3. Administrative responsibilities:

- a. Informs the administrative committee of unusual requests for reimbursement.
- b. Briefs the administrative committee when committees or projects exceed by more than 10% approved budgeted expenditures in any quarter.
- c. Ensures executive management sends monthly reports to all Budget & Finance Committee members and quarterly reports to all board members detailing:
  1. All sources of revenue and expenses and cash balances on hand.
  2. Comparisons of actual to the budget for the current year, year to date, and annual figures for revenues and expenses.
- d. Signs, dates, and returns IRS Federal Tax and State Tax Forms, and Tax Exempt Annual Report to management office, ensuring that duplicate copies are maintained in office files; ensures forms are sent to specified IRS and state addresses by certified mail with return receipt requested.
- e. Prepares and presents appropriate reports.

### 3.6 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 one year
2. Responsibilities:
  - a. Secretary shall be responsible for minutes in absence of executive director. Assists the executive director with preparation of minutes by conducting the initial review.
  - b. Reviews first draft of minutes prepared by the executive director.
  - c. Ensures that the Task List is distributed within 10 business days after the meeting.
  - d. Archives published materials by or pertaining to the organization.
  - e. Communicates with executive management to ensure their compliance with archived documentation.

### 3.7 Committees & Chairperson Responsibilities

Committee Chairpersons and members are responsible for adhering to the policies and procedures listed in this manual and the definition of the committee's responsibilities as listed in the bylaws.

Committee Chairs are responsible for assuring that the tasks and duties as assigned by the Board of Directors are completed and reports of activities and how activities are related to the strategic priorities as set forth by the board are provided to the board at every meeting.

### **3.8 Administrative committee**

Policy: In accordance with the bylaws, the administrative committee will be composed of the president, president elect and the treasurer.

Procedure:

1. The administrative committee will make necessary decisions between board meetings to insure the continuous functioning of the organization.
2. Administrative committee decisions made between board meetings will be listed and described as a separate standing agenda item for ratification at the following CBIC board meeting.
3. Reviews challenges to eligibility requirements. Approves completed and reviewed eligibility waiver applications submitted by the executive office.
4. Reviews challenges to the test filed by failing candidates and delegates, and if appropriate, refers the challenges to the test committee chair.
5. Reviews requests for refund or charge irregularities that are referred from executive office.
6. Reviews challenges regarding lapsed certification that are referred from executive office.
7. With assistance of legal counsel, negotiates the contract for management and testing services as required.

### **3.9 Strategic Planning Committee**

Policy: The strategic planning committee guides the direction of the CBIC directors toward certification opportunities consistent with the vision and mission of the CBIC. Through the strategic planning process the board coordinates and plans strategies aimed at improving the overall certification process within the practice of infection control and clinical epidemiology while continually monitoring and evaluating the internal and external environment which may affect the process over the course of the three year plan.

Procedure:

1. The strategic planning committee is selected by the president and is comprised of the administrative committee, past president, policy/bylaws chair, executive director, and an additional member at large.

2. The strategic plan is developed to support the overall mission and vision of the CBIC.
  - a) The organizational vision is a description of what the 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.
3. The goals of the CBIC are long-term directions for development. The goals are the basis for decisions regarding the nature, scope and priorities of projects and activities. The Strategic priorities are developed by the full CBIC and are operationalized by the committee chairs.
4. Strategic priorities are attained by meeting measurable objectives or strategies. CBIC will budget resources for projects based on the impact the project will have in accomplishing these priorities.
5. As per the business planning cycle the strategic plan is reviewed in detail by the Strategic Planning Committee prior to the second Board meeting of the year and approved by vote of the full board present at that meeting. The strategic plan is reviewed not less than annually to assess Board activities related to identified strategic priorities, validate strategies previously incorporated and/or add new strategies, which support the priorities.
6. The approved strategic plan is forwarded to the budget and finance committee for guidance during the budget process. Priority objectives will be given initial funding in the budgeting process. The chair of the strategic planning committee is a member of the budget & finance committee.
7. Additional project funding requests and/or budget variances that are not currently aligned to the strategic plan are referred from the budget & 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 tactic into the strategic plan.

### **3.10 Budget and finance committee**

Policy: The budget and finance committee facilitates development of a financial plan based on the economic needs of the organization. The committee provides oversight for the efficient utilization of funds, as recommended by the treasurer. They work in conjunction with the executive officers and CBIC committee chairs to present a viable budget consistent with the strategic plan.

Procedure:

1. The committee is comprised of the treasurer, president elect, president, strategic planning chair, an at-large board member and the executive director.
2. The committee meets via conference call monthly to review the financial activity of the organization and prepare financial projections for the next year.

3. The budget and finance committee reviews the projected budget to ensure funds have been allocated to finance approved committee projects, which support the strategic plan.
4. A draft budget is sent to the budget and finance committee for initial review and/or revision with explanations of material. Committee requests will be provided for reference.
5. The budget and finance committee approved budget is included in the fall board meeting mailing, or as scheduled. This budget will be presented to the board for approval at the last board meeting of the year.
6. The budget and finance committee reviews/approves any budget variance requests throughout the calendar year with validation that the request is consistent with the CBIC strategic plan, in accordance with the budget variance procedure. Budget requests or budget variance requests for projects which are not currently consistent with the organization's strategic plan will be referred to the strategic planning chair and/or the administrative committee for further consideration.
7. The budget and finance committee monitors the financial health of the organization and approves the written investment policy.

### **3.11 Test committee**

Policy: The test committee directs and coordinates with the testing agency, all activities related to the development of the certification examination and the Self-Assessment Recertification Examination (SARE).

Procedure:

1. The committee is comprised of six members to include the president-elect, the physician director, a director with microbiology expertise, at least one nurse director, a director practicing in Canada, and a director with a masters in education.
2. A seventh rotating member will be selected by the president to attend one meeting of the test committee, to allow all directors, with the exception of the consumer director, to attend at least one test committee meeting during their term.
3. The test committee will meet at least two (2) times per year for test development and item bank building; additional meetings may be scheduled as determined by the Chair.
4. The majority of committee work is conducted outside of formal meetings to include: initial test form review; revision and review of items; new item development; proofing of examination forms; review of test item performance and candidate comments; and revision to the Candidate Handbook.
5. Specific responsibilities and functions of the test committee are established by contract with the testing agency, development of an annual timeline of test development activities

established by signed agreement with the testing agency and CBIC policy section II, Category 2.0.

6. An Item Writing Workshop will be held annually. An expert panel list will be maintained in an attempt to develop a bank of test questions.
7. The Candidate Handbook will be reviewed annually, revised and printed as necessary.

### **3.12 Policy and bylaws committee**

Policy: Ensures formal documentation of all official policies of the CBIC Board to facilitate consistency in the execution of policies and procedures. Ensures the bylaws and the strategic plan are in accordance. Reviews suggested and proposed bylaws amendments and submit recommended changes to the board of directors.

Procedure:

1. Reviews entire *CBIC Policy and Procedure Manual* annually and makes appropriate revisions as directed by the board. Identifies job descriptions, policies or committee descriptions, which need to be updated, revised or omitted.
  - a) Assigns individual(s) responsibility to make necessary changes.
  - b) Collects these changes; places them in proper format.
2. Submits all new and revised policies and procedures to the CBIC board for review and approval no later than the fall meeting.
3. Maintains an updated *CBIC Policy and Procedure Manual* and coordinates with management to annually distribute it to board members prior to the January meeting and to incoming board members with their orientation materials.
4. Ensures that new policies and policy revisions are computerized in a timely manner.
5. Committee chairs and/or board members (as appropriate) are responsible for policy review and revisions as directed by the policy and bylaws committee chair.
6. Annually reviews the bylaws and the strategic plan with particular reference to the organization's mission and purpose.
7. Coordinates any changes to bylaws as needed.

### **3.13 Marketing Committee Chairperson**

Policy: The marketing committee chairperson oversees the marketing activities of CBIC. The chairperson 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. Directs the activities of the CBIC board during the national APIC and CHICA conferences and is budgeted to attend the APIC national conference.
  - c. Ensures the web-site is current
  - d. Assists in the development of marketing goals
  - e. Is involved in the development of promotional items for sale to certificants
  - f. Updates the board of promotional activities when indicated.

### **3.14 Governmental Affairs Committee**

Policy: The Governmental Affairs Committee (GAC) monitors healthcare regulatory agencies and key healthcare organizations, policies, federal and state legislation, which have the potential to affect infection control certification.

Procedure:

1. GAC will monitor national and state legislation, state health departments, regulatory and accrediting agencies for information affecting certification in infection control and epidemiology.
  
2. GAC, through its chair, will serve as a CBIC liaison to the APIC Chapter Legislative representatives (CLR) via email and/or conference call.
  
3. CBIC President and the Administrative Committee will determine course of action and assign responsibility as appropriate.

### **3.15 Public Consumer Director**

Policy: The CBIC will have a voting 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.

Procedure:

1. Qualifications:
  - a) The public consumer director will not be a practicing professional in the field of infection control and epidemiology or be engaged in a related profession or relationship with a professional in infection control and epidemiology which may present a conflict of interest.
  - b) On an annual basis, must be able to complete and sign form 1, (attached as policy addendum) Public Member Declaration as required by the National Commission of Certifying Agencies (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) Serves on the judicial ethics committee.
- c) Participates on various committees and workgroups as deemed appropriate by the Chair and/or directors.
- d) 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 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 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.
- e) Brings diverse experience and expertise to the board, in an attempt to “add value” to board proceedings
- f) Assists the board in promoting the value of the certification process to candidates and healthcare providers as deemed appropriate by the board

**Category 4.0 Functional Relationship with the Certification Board of Infection Control and Epidemiology, Inc. and the Association for Professionals in Infection Control and Epidemiology, Inc.**

**4.1 APIC as sole member of CBIC**

Policy: CBIC shall maintain a collegial and structural relationship with the Association of Professionals in Infection Control and Epidemiology, Inc., which is the sole member of the corporation.

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

Procedure:

1. CBIC's order of business will not conflict with those rights established for APIC as the sole member of the organization
  - a. APIC will appoint the CBIC board of directors.
  - b. Revisions to specified sections of the CBIC bylaws (article III and section 5, article IV) must be authorized by written assent of APIC.
  - c. Transfer of membership is not permitted.
2. CBIC will conduct 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 will represent CBIC at the APIC annual educational conference for invited functions/activities as approved by the CBIC board of directors. These activities may include:
  - a. APIC president's meeting address.
  - b. CBIC informational forum.
  - c. Conference session and event attendance.
  - d. CBIC report to the APIC board of directors
  - e. Section or focus group attendance.
4. Communication and collaboration with professionals in the field of infection control will be 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 executive director, APIC publications or other avenues as appropriate.
  - d. Honoring APIC invitations to participate on committees, task force, working groups etc. as deemed appropriate or feasible by the CBIC board of directors.
    1. The CBIC president will encourage and foster working relationships with the professional association on all projects or topics of mutual interest or benefit.
    2. Participation in APIC activities will be delegated by the CBIC president with board approval as indicated.
    3. Potential conflict of interest will be evaluated in accordance to established policy.

4. Fiscal responsibility will be determined with appropriate budget allocations made or budget variances applied for.
5. CBIC will sponsor the CBIC president or designee to attend the annual APIC educational conference.
6. CBIC will foster communication and seek input for strategic positioning as appropriate to professionals in the field of infection control through interaction with the professional organization.

#### **Category 4.2 APIC liaison to the CBIC board**

Policy: CBIC will maintain an APIC liaison to the CBIC board.

Procedure:

1. The APIC liaison will be invited to participate as a non-voting member at all board of directors meetings. The APIC liaison does not participate in executive sessions.
2. The CBIC president may request participation of the APIC liaison to any committee, task force or working group.
3. The APIC liaison will be requested to prepare a written report of communication from the APIC board of directors for presentation at CBIC board of directors meetings.
4. The APIC liaison will fulfill responsibilities as designated by the liaison policy and procedure.
5. At the request of the CBIC president, the APIC liaison may facilitate the nomination and vote tally of the CBIC officer elections at the fall CBIC board meeting.
6. Reimbursement of expenses associated with such participation described above will be consistent with all other liaison positions, as outlined in the liaison policy and procedure.

#### **Category 4.3 CHICA liaison to the CBIC board**

Policy: CBIC will maintain a CHICA liaison to the CBIC board.

Procedure:

1. The CHICA liaison will be invited to participate as a non-voting member at all board of directors meetings. The CHICA liaison does not participate in executive sessions.
2. The CBIC president may request participation of the CHICA liaison to any committee, task force or working group.

3. The CHICA liaison will be requested to prepare a written report of communication from the CHICA board of directors for presentation at CBIC board of directors meetings.
4. The CHICA liaison will fulfill responsibilities as designated by the liaison policy and procedure.
5. At the request of the CBIC president, the CHICA liaison may facilitate the nomination and vote tally of the CBIC officer elections at the fall CBIC board meeting.
6. Reimbursement of expenses associated with such participation described above will be consistent with all other liaison positions, as outlined in the liaison policy and procedure.

## **Category 5.0 Professional organizational affiliations**

### **5.1 Liaison Relationships**

Policy: The Certification Board of Infection Control and Epidemiology, Inc. will establish and maintain liaison relationships with selected professional organizations whose missions relate to the application of epidemiology in healthcare, whose memberships represent potential certification customers and when the purpose of the liaison is consistent with the CBIC strategic plan.

1. Liaison relationships will consist of formal communication between professional organizations, presidential attendance at the respective annual conferences, and invited attendance by an organizational representative at respective board meetings.
2. CBIC will seek input from liaison organizations to assist in strategic positioning as appropriate.

Procedure:

1. Liaisons from selected professional organizations:
  - a. The CBIC board will approve liaison relationships.
  - b. Liaisons will be non-voting participants at invited CBIC board meetings.
  - c. Liaisons will be asked to prepare a written report from their parent organization for inclusion in the CBIC board materials prior to each CBIC board meeting.
  - d. Participation in CBIC executive session will be by presidential invitation only.
  - e. Liaisons may be invited to participate in CBIC committees, task forces or other working groups.
  - f. Expenses incurred as a result of participation in any CBIC activities will be the responsibility of the parent organization.
2. CBIC liaison to selected organizations:
  - a. The CBIC president or designee will represent CBIC at invited activities as approved and funded by the CBIC board.

- b. Activities may include conference attendance, focus group participation, speaking engagements and other events.

## **Category 6.0 Professional memberships**

### **6.1 National Commission for Certifying Agencies (NCCA) membership and standards compliance**

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

Procedure:

1. NCCA membership dues will be a recurring annual expense on the CBIC operating budget.
2. As directed by the CBIC President, an analysis of the NCCA standards will be 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 will annually complete and submit to NCCA any information requested on the current status of the certification organization and its program.
  - a. As required by NCCA, CBIC shall advise 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 shall submit to the NCCA any information it may require to investigate allegations of lack of compliance with NCCA standards.
  - c. CBIC will submit to routine re-evaluation by the NCCA at five-year intervals. NCCA will provide requirements for documentation to submit for re-accreditation in the year prior to expiration.

### **6.2 Membership in the National Organization for Competency Assurance (NOCA)**

Policy: CBIC will maintain membership in the National Organization for Competency Assurance to: obtain information pertinent to certifying bodies; influence issues of concern or importance to certifying agencies through partnership with collective organizations; network with like organizations; and gain recognition for CBIC among other certifying bodies.

Procedure:

1. NOCA membership will be budgeted in the CBIC annual operational budget.
2. CBIC national office will receive and distribute NOCA information to CBIC board of Directors.

3. The CBIC Test Committee Chair attendance at the annual NOCA conference in the fall will be funded by CBIC. In addition, the board of Directors will consider attendance of the newly elected President elect in the year preceding his or her term. The decision will be based on the program agenda and fiscal considerations.
4. A summary of information presented at the NOCA conference will be presented to the Board of Directors at the next meeting

## **SECTION II**

# **Operational policies and procedures**

## **Category 1.0 Professional management**

A professional management company provides management services to CBIC. An executive director oversees fulfillment of the management company responsibilities. A collaborative relationship exists between the CBIC board, Management staff, and the testing agency. These groups work together to implement CBIC programs. In general, the volunteer members of the board provide leadership direction and determine policy. The Management staff implements CBIC programs and support all board activities other than those contracted with the testing agency or other entities.

### **1.1 Contract**

Policy: Professional management services are arranged by contract with a management company.

Procedure:

The president will contact legal counsel in fall of the year to review the contract with the management company. The president will review all contracts with the board at the first meeting of the year.

Under the current contract, the management company provides staff to perform services as mutually agreed. Those identified specifically in the contract include answering the CBIC telephone line, monitoring finances, handling funds, cooperating in an audit, negotiating contracts, and maintaining the website. In the performance of their duties, staff will maintain confidentiality of applicants and certificants at all times. The extent of services and to what projects they will be applied is addressed as part of the budgeting process.

### **1.2 Accountability/responsibilities**

Policy: The Management Company is responsible to the board of directors for the quality of its work.

Procedure:

The Management Company provides an executive director, who is primarily responsible for the services provided, including managing such services in accordance with the budget. The executive director communicates as needed with the president and administrative committee to ensure that services are delivered as negotiated. Board members are encouraged to communicate with the executive director any questions or comments about staff support.

### **1.3 Administrative committee, standing committees, and board support**

Policy: Staff will provide support for all committees, task forces, and board members as budgeted.

Procedure:

1. The budget and annual planning calendar will identify each committee's scope of work.
2. The executive director will assign committee or task force work to staff liaisons as necessary. The staff liaison will be the primary staff contact for the committee's work and will be responsible for day-to-day activities of the project/committee, reporting to the executive director.
3. The staff liaison will contact the committee chair shortly after appointment to discuss plans for the year.
4. Unless agreed or budgeted differently, staff services will include preparation of minutes, drafting and/or preparing correspondence, facilitating committee activities, attending meetings, and arranging for needed services.

#### **1.4 Communication**

Policy: Communication between committee chairs, the president, staff liaison, and 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. (Note: the term committee chair is used to reflect the current board structure; the same policy and procedures apply to any board member responsible for an activity.)

Procedure:

1. Committee chairs will complete board reports prior to each board meeting.
2. Committee chairs are encouraged to contact the president and/or executive director to discuss progress in fulfilling the committee's goals at any point in the year, especially if difficulties are anticipated.
3. The executive director will apprise the president of anticipated or actual difficulties in supporting committees (i.e., delays, communication problems).
4. Depending on the nature and needs of the committee, periodic conference calls or other communications mechanisms may be budgeted and are arranged through the staff liaison.
5. The president and executive director will 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.

The administrative committee will communicate as needed throughout the year to assure the smooth operation of the organization.

#### **1.5 Certification inquiries and correspondence**

Communication with certificants, potential certificants, and others is handled politely and professionally, with record kept of the communication as needed and in accordance with archiving procedures.

### **1.5.1 General communications:**

Policy: Most communications will be handled through the executive office; either directly received or referred from the Testing Company, board members, or others.

Procedure:

1. Staff will directly respond to questions and comments that are addressed by policy or publication, referring matters as appropriate to the president, board members, Testing Company, legal counsel, or professional organization(s). Staff may ask telephone callers with questions unanswerable by policy to put their question/comments in writing for further consideration, and then refer the matter.
2. Board member correspondence will be handled through the office unless particular circumstances warrant doing otherwise. Board members with correspondence to be sent should contact the CBIC administrator to schedule their project.
3. Communication handled directly by board members will be copied to the office with any relevant documentation. This will be primarily correspondence, but board members should consider electronic and telephone communications as well and copy the office as appropriate.
4. When complaints or suggestions are received from certificants or potential certificants, staff will handle depending on the nature of the problem. If it is a substantive issue or concern, the individual will be asked to put his or her thoughts in writing or a telephone call report made. If it is a minor, unchangeable, or perceived problem, it is tracked and addressed if volume seems significant. These are reviewed on a periodic basis with the administrative committee.

### **1.5.2 Recertification communication:**

Policy: Management services will be responsible for routinely sending notice of recertification to certificants.

Procedure:

1. Initial notification about recertification timeframes is provided in the letter new or recertified certificants receive with their certificate after passing the exam.
2. In January, a letter and a current Candidate Handbook is sent to those CICs due for recertification in that year as a reminder to recertify.
3. Recertification reminders are also published on the web site, in general mailings to CICs, and elsewhere as budgeted.

### **1.5.3 Examination fee refund requests:**

Policy: Requests for refunds are handled in accordance with the policy published in the candidate handbook (See section 22 of Handbook.)

Procedure:

1. Requests for refunds are received by the Testing Company then forwarded to the CBIC office.
2. Staff reviews refund requests and sends refunds as outlined in the policy, adhering to published deadlines. If the examination has occurred, staff verifies that the candidate did not take the examination.
2. If deadlines to request refunds have passed, the individual is not eligible for a refund.

### **1.5.4 SARE processing:**

Policy: SARE processing is coordinated between the Testing Company the Management Company.

Procedure:

1. SARE booklets and answer sheets are printed by the Testing Company and shipped to the CBIC executive office. Brochures or other selling mechanisms are printed and distributed by the office. When SARE orders for recertification are placed, the database is checked for certificant's eligibility and date of certification. Orders are returned to the CBIC office, payment deposited, and SARE booklets, answer sheets, and return envelopes sent from the office.
2. Answer sheets are returned to the CBIC office.
3. The CBIC staff sends answer sheets and recertification status to the Testing Company.
4. The Testing Company scores the answer sheets and sends score reports directly to the certificant.
5. The Testing Company returns a hard copy and disk with pass/fail status of those taking the SARE for recertification to the CBIC office monthly.
6. The Management staff updates the database to reflect recertification status. In addition, letters are sent to those individuals who did not pass regarding their options for retaking the examination. The Management staff verifies score information has been provided for all candidates forwarded to the Testing Company as recertification candidates. If there are any discrepancies, follow-up will be done.
7. Management staff sends new certificates and correspondence to those who recertify via SARE.

8. When the SARE is purchased for self-assessment, the certificant will be informed that the SARE examination cannot be purchased within the same year for recertification purposes.

### **1.5.5 SARE refunds:**

Policy: Refunds are not routinely available because of the nature of content.

Procedure:

1. Refunds may be given if the SARE is returned with seal unbroken.
2. Requests with unusual circumstances are reviewed by staff and referred to administrative committee if appropriate.

### **1.6 Public Inquiries**

Policy: Communication with the public (telephone, written, and electronic) are handled by the staff and referred to board members, professional organizations, or others as necessary.

Procedure:

1. Board and committee members receiving questions or concerns from the public will direct them to Management staff or the CBIC president as appropriate.
2. Management staff will respond or refer the matter to the CBIC president, appropriate board member, or the Testing Company as needed.
3. If a written response is needed, staff will prepare and maintain a copy in accordance with archiving procedures.
4. Requests for verification of CIC status must be made in writing. Responses may be by telephone, electronically, or in writing and are limited to whether the individual is certified. Address, telephone number and other information will not be provided except in unusual circumstances approved by the executive director.
5. Requests and questions not related to the mission and functions of CBIC will be referred to APIC, CHICA-Canada, or other appropriate entities.

### **1.7 Publication and processing of the Candidate Handbook and applications for certification**

#### **1.7.1 Candidate handbook**

Policy: Candidate handbooks are printed as needed following CBIC content approval.

Procedure:

1. Approval of revisions for the coming year is usually coordinated by the test committee chair and completed with input from board members and staff at the fall meeting. These revisions are submitted to the Testing Company for typesetting.

### **1.7.2 Candidate Application process**

Policy: The candidate handbook is the primary written document pertaining to the examination process and serves as CBIC's "agreement" with potential candidates.

Procedure:

1. Candidate handbooks are available from the CBIC Executive Office and on the CBIC website.
2. Candidates may apply online at the testing agency's website or may complete and submit a paper application. The candidate is requested to send the paper application to the testing agency as referred to in the handbook. When applications are misdirected to the CBIC Executive office, they are stamped with the date of receipt and sent to the Testing Company within a day of receipt.
3. Questions about receipt of an application are referred to the Testing Company.
4. Postcards that are included in the candidate handbook indicating the application was received are sent to the candidate by the Testing Company.
5. Candidates applying for CBT examination online will receive immediate notification of their eligibility and may schedule an examination appointment as directed during the online application process. For those candidates applying by paper application the Testing Company will send a postcard and email confirming their eligibility and providing scheduling instructions. Candidates applying for an international administration of the paper & pencil proctored examination will be sent confirmation of their eligibility and an admission ticket to the examination date/location at least 2 weeks in advance of the examination date by the Testing Company.
6. Difficulties referred to Management staff regarding the application process will be resolved with the Testing Company and a response provided to the applicant by either Testing Company or CBIC staff as appropriate.
7. For candidates sitting for an international paper & pencil proctored examination the Testing Company will send score report within six weeks of examination date. Candidate sitting for a CBT examination will receive instant score reporting at the assessment center.
8. One copy of all standard correspondence (i.e., postcard, admission ticket, score reports) will be kept on file in the CBIC Executive Office for reference.

### **1.7.3 Certification eligibility waiver process**

Policy: Candidates who do not meet the educational eligibility criterion may apply for an eligibility waiver.

Procedure:

1. Application forms are available from the CBIC office.

2. Staff will review the application upon receipt. If the applicant has erroneously applied for a waiver, the application is returned to the applicant, along with their waiver fee, with instructions to apply for the examination.
4. Applications will be reviewed by staff then sent to the administrative committee and the Test Committee Chair for a decision.
5. Individuals who do not meet the criteria for an eligibility waiver will be sent a letter with the decision and any suggestions for steps they can take to meet the criteria in the future (e.g., if inadequate continuing education was submitted, the individual would receive a suggestion to attend additional continuing education programs in appropriate areas). Individuals may reapply for an eligibility waiver, and will need to resubmit a complete application and fee.
6. Individuals whose eligibility waiver applications meet the criteria will be sent a letter informing them of the decision and encouragement to apply for the examination. Eligibility waiver approval is granted for the examination(s) for the calendar year in which the application was reviewed.
7. The letter will include instructions about enclosing a photocopy of the letter with their examination application. Staff will also provide the Testing Company with information about approved eligibility waivers as needed.

#### **1.7.4 Result Processing**

Policy: The Management Company will receive pass/fail data from the Testing Company and will update the database and send certificates and correspondence accordingly.

Procedure:

1. The Testing Company will send passing and failing candidate rosters along with the same information on computer disk, formatted as mutually agreeable, to the CBIC office within 30 days of the examination. While CBIC continues to administer a paper & pencil proctored examination at the CHICA-Canada conference that administration will be scored within two weeks and results will be provided together with the CBT monthly reporting for the month in which the CHICA administration occurs.
2. Staff will update the CBIC database and proof the entry of new information against the lists provided by the Testing Company. Names of new and renewed certificants are published as budgeted, generally on the web site and in APIC and CHICA-Canada publications. As with all other publications, text is approved by the administrative committee prior to submission for publication.
3. Certificates and correspondence are sent post-exam from the CBIC office within 30 days of receipt of the information from the Testing Company. Correspondence may include congratulatory information, instructions about maintaining certification, information to pass on to the certificant's supervisor, permission forms for media notification, and product information.

#### **1.7.5 Passer Verification**

Verification of the Management Company database with the Testing Company's pass/fail candidate statistics is done on a monthly basis by the CBIC office. The following materials are needed: passer list from all of the proctored exams, CBT candidates and SARE candidates, the Testing Company results binders and score sheets, SARE answer sheets and the Testing Company score reports.

**For SARE:**

1. Compare the Testing Company score report sheets with the Management Company database.
2. Compare the Testing Company score report sheets with the Management Company failing list.

**For CBT and Proctored Exam:**

1. Compare the Management Company database with the Testing Company rosters.

**1.8 Information and Data Management**

Records are maintained and information tracked as outlined in these policies and as may be budgeted from time to time.

**1.8.1 Archives**

Policy: Physical archives are maintained at the CBIC office.

Procedure:

1. Records are maintained for the minimum periods listed below. These periods may be lengthened for any business or practical considerations. At this time all records except where identified otherwise exist on paper. Staff and board will evaluate other storage options on an ongoing basis as space and financial resources require.

| 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, answer sheets, key and P.I. summary   | permanent            |
| board members' curricula vitae  | seven years          |
| lists of passing and failing candidates with scores (currently kept in hard copy by examination administration; on 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 years      |
| legal claims and litigation files  | ten years   |
| bank statements and reconciliations  | seven years   |
| canceled checks  | three years   |
| eligibility waiver applications  | seven years   |
| communication regarding misuse of credentials  | seven years   |
| self-improvement program records   | seven years   |
| publications : articles<br>: advertisements, other)<br>regarding CBIC                                    | permanent<br>seven years                              |
| board binders (agenda materials, board and committee reports, other materials for meetings)              | seven years   |
| sample letters notifying candidates of recertification requirements (letter to new and recertified CICs) | seven years   |
| application verification audits  | seven years   |
| insurance policies   | permanently   |
| insurance claims   | six years   |
| accident reports   | six years   |
| correspondence relevant to an individual's next recertification  | six years or until one year past recertification year |
| bank deposit slips   | three years   |
| depreciation records   | permanently   |
| interim/internal financial statements  | three years   |
| inventory lists  | three years   |
| invoices   | three years   |
| committee meeting minutes  | three years   |
| budgets  | two years   |
| general correspondence   | two years   |

### **1.8.2 Correspondence**

Policy: Significant correspondence is distributed to the board and all correspondence is sent to the president.

Procedure:

Staff will distribute significant correspondence in periodic board mailings for reference or it will be provided for discussion at the next board meeting.

### **1.8.3 Board Meeting Minutes**

Policy: Minutes are kept of all board meetings.

Procedure:

1. The Management Company staff will take and prepare board meeting minutes unless otherwise agreed. If emergency circumstances prevent staff from recording minutes, the secretary will do so.

2. Within two weeks of the last day of the meeting, staff will send a draft to the secretary and president to review for accuracy and within four weeks to legal counsel to identify any problematic content.
3. Within one week of receipt, the secretary, presiding officer, and legal counsel will return any changes.
4. After changes are received the revised draft copy will be 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.
7. Minutes of committee meetings will be taken when business is conducted at the meeting. Staff will take and prepare these minutes if prearranged with staff; if staff is not available, the committee chair is responsible for identifying a committee member to prepare minutes. After the meeting, minutes are sent to the committee and any changes returned to the staff or committee chair. If no changes are received, the minutes are considered approved.

#### **1.8.4 Web site management**

Policy: CBIC will operate a web site as budgeted.

Procedure:

1. The web site content is maintained by the staff.
2. Substantive content changes are reviewed by the marketing liaison then the administrative committee.
3. Minor wording updates and format changes are made by the staff without prior approval.
4. Reports on web site use are provided by the staff at board meetings.

#### **1.9 Financial management**

Policy: In consultation with the treasurer, the CBIC 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 and forwards information on results.
3. Staff provides requested information to the auditor.

### **1.9.1 Long Range operational budget**

Policy: As CBIC defines goals for budgeting strategies beyond the annual budget, staff will provide recommendations for techniques to achieve goals and implement the selected process.

Procedure:

1. Long range budgeting will be assessed in conjunction with the Strategic Planning process.
2. The annual budget will be based on the Strategic Plan and long range budget goals and will be approved by the entire board.

#### **1.9.1.1 Investment Plan**

Policy: CBIC's investment strategy shall be to emphasize total return, i.e., the aggregate return from capital appreciation and dividend and interest income. The primary objective in the investment management for Investment Account assets shall be: Preservation of Capital – to minimize the probability of loss of principle over the investment horizon, emphasis is placed on minimizing return volatility rather than maximizing total return. The second objective in the investment management of Investment account assets shall be: 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 shall be made according to the CBIC Statement of Investment Guidelines (appendix).
2. The Budget & Finance Committee will oversee the selection of the investment management firm and the investment process. .
3. The Treasurer will provide updates on the investments to the CBIC Board as frequently as necessary.

### **1.9.2 Operational (annual) budget**

Policy: The annual budget is approved by the board and determines what funds are spent during the year.

Procedure:

1. Work on the annual budget is begun in the summer by the Management Company staff, including development of a budget schedule designed for budget approval at the fall board meeting. (The dates outlined below are for reference only and may be changed; refer to the annual planning calendar for this year's specifics.)

2. Requests are sent by staff to committee chairs by June 30, requesting the following: recommendations for new activities in the coming year; activities to be discontinued which were conducted in the present year; and comments concerning the viability of activities budgeted for the second half of the year that have not yet been conducted. Committee chairs need not provide specific dollar amounts. Committee chair responses are due back to the office by July 20.
3. Requests are sent by staff to legal counsel for a proposed retainer and to the auditor for a letter of engagement with fee by June 30 with written responses due by July 20.
4. Staff will prepare a draft budget and send it to the budget and finance committee for review at the conference call the month prior to the fall board meeting. . The budget packet will include explanatory material, committee requests and other background information as appropriate.
5. The budget and finance committee and the Management Company staff will discuss the proposed budget via conference call the month prior to the fall board meeting.
6. The revised draft budget will be sent to the board for review at least two weeks prior to the fall board meeting.
7. CBIC Directors should review the budget in advance of the meeting and contact the Budget & Finance committee to answer any questions about the content of the proposed budget. Then time at the board meeting can be spent discussing the priorities budgeted rather than clarifying content of the proposed budget.
8. The budget will be approved at the fall meeting.
9. A final budget will be distributed to the board following the meeting.

### **1.9.3 Budget variance**

Policy: Changes to the budget must be approved by the board.

Procedure:

1. A budget variance must be requested and approved when a committee or individual proposes proceeding differently than approved in the budget or when the amount to be spent is more than 10% above the budgeted amount. Variances above the 10% would be evaluated by staff and administrative committee when the project is a budgeted strategic tactic. Upon approval by the administrative committee, the variance request should be either incorporated as a resolution and ratified at the next board meeting or sent as a ballot to the board.
2. The individual or committee requesting a variance must provide the Management Company staff with the necessary information to gather costs and must notify the treasurer that he or she will be proposing a budget variance. The individual or committee, treasurer, and staff

will determine whether the request can wait until the next board meeting for a decision or if it should be handled more expeditiously.

3. A written budget variance request is developed by the individual, committee or staff as appropriate. The request must include an explanation of how the request is consistent with the strategic plan and may include a recommendation regarding what funds could be used. For example, a committee could propose replacing a previously-budgeted activity with a new one.
4. The budget variance request is sent to the members of the budget and finance committee by staff in consultation with the treasurer.
5. Budget and finance committee members evaluate the request and respond as scheduled. This process may be handled by mail, electronic, telephone, or in-person communication at the discretion of the treasurer.
6. If the request is denied, the president or treasurer will communicate with the individual requesting a variance. The individual may still submit the request to the full board at the next meeting.
7. If the request is approved for board consideration, staff will provide information to the board in conjunction with the treasurer or designee requesting a decision on whether to grant the budget variance. The material sent to the board will include the reason for the request, where the funds would come from to fund the request, an analysis of implications if appropriate, and any recommendations from the budget and finance committee.
8. Board members will respond as scheduled.
9. The decision will be communicated to the treasurer and president and the board notified of the outcome. The budget will be updated if appropriate and updated copies provided to the board.

#### **1.9.4 Capital equipment**

Policy: Decisions to purchase capital equipment will be made in the context of the annual budget approval process.

Procedure:

1. In evaluating whether to invest in capital equipment, the board will consider comparative costs (buying versus renting or borrowing), liabilities of owning, benefits of owning, long-term implications, procedures for use, and costs of upkeep, insurance, and maintenance.
2. When a decision is made to invest in capital equipment, procedures for use and responsibility will be delineated.
3. Depreciation costs will be reflected on financial statements or otherwise as indicated by accounting requirements.

#### **1.9.5 Financial Statements**

Policy: Financial statements are prepared by staff on monthly basis, distributed to the Budget & Finance Committee for monthly review and sent to the board on a quarterly basis in board mailings.

Procedure:

1. The Executive Office will prepare the monthly statements along with a short memo with comments and distribute them to the Budget & Finance Committee at least 3 days prior to the monthly conference call.
2. The Executive Office will distribute additional reports to committee chairs as directed and agreed upon by board and staff.
3. Board members should review the financial statement in the month received and contact the executive director, senior staff accountant, or treasurer as appropriate with any questions.
4. The most current financial statement will be discussed at each board meeting by the treasurer, or at his or her request, by the executive director, to review the general financial health and progress of the organization.

### **1.9.6 Issuing reimbursements**

Policy: Reimbursement to meeting attendees (board members, liaisons, staff, Testing Company personnel, legal counsel, auditor, and/or other professional attendees) is provided as budgeted, and communicated to the attendee(s).

Procedure:

1. Expense report forms will be mailed to the Management Company office by the board member in accordance with the directions on the form within thirty days of the meeting or within two weeks of incurring the expense. Expenses will not be accepted after 90 days.
2. The Management Company staff will date stamp the expense report, review it, and contact the board member with any questions within 3 business days of receipt. If there are no questions, the bill will be forwarded to accounting for processing prior to the scheduled monthly bill paying day as determined by the Management Company calendar in accordance with organizational policies. .
3. The treasurer will approve the expense report for payment within 3 business days of receipt from the management office or in conjunction with the monthly bills.
4. Copies of all checks will be sent to the Treasurer via Federal Express for approval prior to the checks being signed by the Executive Director. The checks will then be forwarded to the recipient by the Management Company via U.S. Mail. The Treasurer will sign checks payable to the Management Company and Executive Director or other staff member. (References/related documents: instructions on expense report form; policy 4.6 expense reimbursement; policy 4.4 CBIC meeting attendance.)

### **1.9.7 Charitable Donations**

Policy: Charitable donations will be accepted only when no actual or perceived conflict of interest exists.

Procedure:

1. Staff will obtain specifics from any potential donor about the purpose of the donation, any restrictions upon its use, the nature of the business of the donor company or individual, and the amount of the donation in question.
2. The information concerning the potential donation will be reviewed by the administrative committee and legal counsel, who will make a decision regarding acceptance. Potential donors of unaccepted donations may be referred to professional organizations and/or foundations.
3. Any potential donors, accepted or not, will be thanked via letter from the president sent by the staff.
4. Only in rare cases would CBIC seek sponsorship of a project, or general financial support, from a company or private individual. If such an action were to be pursued, it would be included in the budgeting process and sought by the designated board member(s) with staff support.

### **1.9.8 Product sales**

Policy: CBIC may from time to time sell products promoting the CIC designation or recognizing achievement of the CIC credential. These are promoted and sold as budgeted annually.

Procedure:

1. The proposed marketing plan for the year will include recommendations for continuing to sell current products and whether to develop any additional products.
2. In approving the annual budget, the board will approve 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 will cover all development, inventory, promotion, fulfillment, and management costs.
5. Within reason, the cost of products will be refunded in full to individuals dissatisfied with their purchase,

### **1.9.9 Mailing lists**

Policy: Mailing lists of certified individuals will be sold or provided free of charge upon the approval of the administrative committee.

Procedure:

1. Individuals who request a list, telephone numbers, or other information allowing them to contact certificants will be asked to submit a written request. The request should include: identification of specific information they would like, the medium or format preferred, and a description of how the information will be used. If it is for a mailing, a sample of the mailing piece will be required (draft format acceptable). If the intended use is telephone solicitation, a script for the calls will be required.
2. Staff will review the request and forward it with recommendations to the administrative committee.
3. In making a decision, the administrative committee will consider the appropriateness of the communication to certified infection control professionals. The administrative committee will provide staff with a decision, which staff will communicate, to the potential purchaser.
4. The information will be provided for one-time use at an established price in the medium and format agreed upon by the purchaser and staff. Expedited delivery will be at the purchaser's expense.
5. Staff will monitor feedback from certificants and purchasers.
6. As label sales are not key to the mission of the organization, they will not be promoted unless budgeted otherwise.

Note: Rates have not been established for one-time use of the mailing lists. Rates will be set by the administrative committee as needed if requests are received prior to development of a fee structure.

### **1.10 Board meeting management**

Policy: Staff will make logistical arrangements for all meetings and attend all meetings as budgeted.

Procedure:

1. When one staff member is budgeted to attend a board meeting, it will generally be the executive director.
2. The executive director's priorities at the meeting will be participation in the meeting, recording of minutes, and logistical support in that order.
3. When more than one staff person is budgeted to attend, the executive director will determine the best use of staff resources at the meeting.
4. When meetings are held in the local area of the management company, additional staff members may attend as feasible/helpful.

### **1.11 Strategic planning, business plan, and annual calendar**

Policy: Staff will participate in and support development of the strategic plan, marketing plan, business plan, and annual calendar.

Procedure:

1. Staff will participate in strategic planning sessions and support the chair as needed/budgeted to maintain a strategic plan.
2. Staff will use the strategic plan as a key resource in budgeting and development of the following document as well as other projects.
3. Staff will assist in developing a business plan as directed by the board.
4. An annual calendar will be used to develop, assign, and communicate project deadlines.
5. The calendar will be drafted annually by staff prior to the end of the preceding year and approved by the administrative committee and distributed to the board.

### **1.12 Marketing**

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

Procedure:

1. Staff will draft and implement an annual marketing plan prior to budget development for the coming year. The marketing plan will include 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 will approve the marketing initiatives in the context of budget approval.
2. Staff will implement the marketing plan in conjunction with a board member marketing liaison. (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 CHICA-Canada) and other techniques to meet the overall goals.

### **1.13 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. The management company provides the Board with evaluations of contract companies which provide services to CBIC.

Procedure:

1. The performance evaluation tool is included in the packet sent to all board members prior to the fall meeting. Board members are asked to respond in each area in which they have

had experience and 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 at the end of the Fall Board meeting.
4. The 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 Director evaluates other contracted service providers annually and provides the Board with an overall report on those services at the winter Board meeting. In addition, problems which could impact on services are brought promptly to the attention of the Executive Committee for action and resolution.

#### **1.14 Contract renewal process:**

Policy: The president will review all signed contracts with the administrative committee and/or the board. The president may seek the advice of legal counsel where appropriate and be the signatory on the contract.

### **Category 2.0 Professional test development**

The Testing Company provides professional psychometric services for CBIC. The CBIC president, test committee chairperson, and executive director share responsibility to oversee fulfillment of the testing agency responsibilities. A collaborative relationship exists between the CBIC board, Management staff, 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 organization and supports all board activities other than those contracted with the testing agency or other entities. The testing agency 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 agency.

Procedure:

1. The president will contact legal counsel in fall of the year to review the contract with the testing agency. The president will review all contracts with the board at the first meeting of the year.
2. The current contract will define responsibilities of the Testing Company and CBIC and establish a timeline to perform services as mutually agreed. Separate contracts are established for the proctored examination and the Self Assessment Recertification Examination (SARE). The extent of services and what projects they will be applied to are addressed as part of the budgeting process.

## **2.2 Accountability/responsibilities**

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 and as indicated by the CBIC with results provided to the president of the Testing Company.

## **2.3 Test committee**

Policy: The Testing Company test development specialists will provide 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 will be an integral part of budget development.
2. The strategic plan, three-year budget and annual planning calendar will identify projects requiring testing agency support in addition to those services included in the basic contracts.
3. The test committee chair will be the primary contact for the committee's work and will be responsible for day-to-day activities of test development and analysis.
4. The Management Company\_meeting planner staff liaison will contact the committee chair shortly after appointment to discuss meeting plans for the year.
5. The Management Company\_will coordinate all meeting planning activities arranging for needed services.

6. The Testing Company staff will attend and support the activities of the test committee meetings.
7. The test committee chair will be 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 the Management Company 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 will plan committee work in accordance to the strategic plan and direction of the CBIC.
2. The test committee chair will complete a detailed board report prior to each board meeting.
3. The CBIC president-elect will always and whenever possible the president will be a member of the test committee to facilitate communication and participation of the administrative committee with test development activities.
4. Depending on the nature and needs of the committee, periodic conference calls or other communications mechanisms may be budgeted and are arranged through the staff liaison.
5. The test committee chair, president and executive director will 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 will conduct a practice analysis or an equivalent methodology by testing industry standards, to establish examination content validity at least every five years. Projected expenses will be amortized over the five-year cycle.

Procedure:

1. Perceived changes in the field will be evaluated during strategic planning sessions on an annual basis, to determine if a Practice analysis is indicated in advance of a five year interval.
2. Communication with a testing agency will begin no later than one year in advance of a Practice analysis to establish a contract for services.
3. The testing agency will provide an overview of current testing standards relative to establishing content validity and recommend a methodology most appropriate for the examination to the test committee. The test committee will conduct further investigation and review and present a proposal to the CBIC.

4. The test committee and CBIC will 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 will 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 agency will determine the number of respondents necessary to adequately represent the practicing field by conducting a power analysis.
7. Based upon the recommendations of the test committee and CBIC, a contract for services will be negotiated by the test committee/Practice analysis chair and CBIC president.
8. The contract with the testing agency will outline the specific steps and specifications of the Practice analysis consistent with recommended parameters established by current standards in the testing industry. The contract will specify 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 will be outlined.
10. A Practice analysis committee representing diversity in geographic location, professional discipline, practice settings, and experience will be assembled. It is recommended to include individuals involved in previous Practice analysis and past test committee members.
11. Results of the Practice analysis will determine a new content outline. Item pool conversion will be done with items deleted for rejected tasks and items developed for new content areas. A new cut score is determined following each Practice analysis.

## **2.6 Use of Practice analysis data**

Policy: Results of the Practice analysis will be 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 not restricted to CBIC or Practice analysis members.
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 subcommittee on data analysis unless new data are developed.
4. All requests for access to Practice analysis data are submitted to the CBIC executive office and forwarded to the test committee chairman. Decisions of the test committee are made by a simple majority. Requests will then be approved by the current CBIC president.
5. Costs associated with fulfilling requests for use of the Practice analysis data will be determined by the CBIC at the recommendation of the test committee. Payment of these costs is the responsibility of the requester.
6. The test committee makes recommendations to CBIC regarding individual use of Practice analysis data and determines if a requirement for use of the data is in the preparation of a manuscript for publication.

## **2.7 Item development, review and banking**

Policy: CBIC will allocate adequate funds to develop and maintain a proctored test item bank sufficient to provide for the development of an annual test form meeting the specifications of the content outline. CBIC will allocate adequate funds to develop and maintain a SARE test item bank sufficient to provide for the development of revised test meeting the specifications of the content outline every two years.

### Procedure:

1. Items are solicited in draft form from CBIC board members, expert panel members, certificants, and professionals practicing in the field or experts in an area of content. Items submitted to the test committee are added to the item bank in “review status”.
2. The expert panel is a group of expert consultants from whom items are solicited.  
Participants on the expert panel:
  - a. Do not attend test committee meetings.
  - b. Submit a minimum of three test items per year in the individual’s area of expertise or area(s) assigned by the test committee chair.
  - c. Review a maximum of 6 previously written items per year on request of the test committee.
  - d. May sit for certification or re-certification, as participation does not affect eligibility.
  - e. May cease participation at any time.
  - f. May include participation on the panel in their curriculum vitae.
3. The test committee serves as the content experts and is responsible to finalize review items to place into the active test pool. Items must be approved by consensus of the committee to place in the active pool.
4. The test development specialist contracted through the testing agency is responsible to assure that questions are in appropriate format and meet recommendations/guidelines of the testing industry.

5. The testing agency is responsible to enter items into the item bank, complete necessary demographic information relative to the item, and maintain performance statistics on each item.
6. Items shall be referenced whenever possible, although items may be based upon the consensus of experts in the field. References are maintained in the item bank database, but are not published in the SARE.
7. A pool conversion of all items in the two item banks is done for each new content outline developed as the result of a new Practice analysis.
8. SARE items shall include an explanation describing the rationale for the correct option and each distracter.

## **2.8 Proctored test form development**

Policy: A new test form will be developed for the proctored examination in the spring of the year to be used initially for the fall examination. The form will be used as an exact reprint for the subsequent spring administrations.

### Procedure:

1. The testing agency will assemble a draft form meeting specifications of the content outline using active items (review items may be used if necessary) in the item bank in January. The form must contain a sufficient number of items used on previous test forms to allow for equating. The form will be distributed to test committee members as per the established timeline.
2. Test committee members answer each test item and review for appropriateness of and congruence to the content outline and cognitive levels. Committee members submit answers, comments and revisions as well as draft replacement items to the testing agency by specified deadline.
3. The testing agency scores the test committee answers and assembles all comments and revisions and prepares a worksheet of items for the test committee meeting. The test committee reviews all items answered incorrectly or commented upon by a committee member during the spring committee meeting.
4. The testing agency prepares a final draft of the test form and provides copies sufficient for all members of the CBIC including the consumer director, executive director, and liaisons and one copy of the key to the test committee chair prior to the spring CBIC board meeting.
5. The test committee chair distributes the final draft of the test form to CBIC members at the beginning of the board meeting. Members are instructed on security of the examination and given directions for answering and reviewing items.

6. The test committee chair verbally provides the item keys to the committee on the last day of the meeting and solicits comments from the board relative to proofing and item appropriateness. Revision of equators is discouraged.
7. The test committee chair advises the CBIC regarding their comments and recommendations and brings the group to consensus on each item. Consensus on the 150 items concludes board approval of the examination form, which is reflected in the minutes. A decision to replace an item with an active item may be made with final approval authority delegated to the test committee chair. Replacement with a review item may be done if reviewed by at least two additional test committee members.
8. The test committee chair communicates all changes approved by the board to the testing agency that prepares the final copy for proofing. The test committee chair or designee(s) conducts the final proof of the examination.
9. The testing agency publishes the final copy.

## **2.9 SARE test form development**

Policy: A new SARE is developed during even years for publication and release in January of odd numbered years. New versions of the SARE must have a least 50% of items carried over for purposes of equating, but at least 25% of the examination items should be newly developed or revised.

### Procedure:

1. The testing agency will establish a timeline for SARE development, which allows for a new form of the SARE to be developed, printed and available for distribution by January 1.
2. The testing agency will provide the test committee chair a preliminary item analysis (PIA) at the end of the calendar year to identify problem items, which need to be rescored. Items cannot be revised or replaced until the next SARE publication.
3. The test committee chair will make an initial review of the SARE and identify those items which:  
1) Have performed well, are well-written, and test important and current information;  
2) Have not performed well, have room for improvement, or have become outdated or do not test as important of information;  
3) Should be reviewed by the committee or are in need of revision; and  
4) Should remain in the active pool, but are not the priority choices to remain on the examination.
4. The test committee chair will prepare an initial report to the test committee of the above information as a working document to solicit further input in the selection of the 75 items, which should be used as equators in their identical format on the new form, and at least 38 items, which should be replaced.
5. Consensus of the committee is provided to the testing agency. The testing agency will assemble a draft form meeting specifications of the content outline. The form will be distributed to test committee members as per the established timeline.

6. Test committee members will answer each test item and review for appropriateness of and congruence to the content outline and cognitive levels. Committee members will submit answers, comments and revisions as well as draft replacement items to the testing agency by specified deadline.
7. The testing agency scores the test committee answers and assembles all comments and revisions and prepares a worksheet of items for the test committee meeting. The test committee reviews all items answered incorrectly, commented upon by a committee member, review items, and newly drafted items. The test committee also reviews front matter, directions, rationale and explanation for revision.
8. The testing agency prepares a draft of the test form and provides copies with rationale, front matter, rationale and explanations to all members of the test committee.
9. Following review by the test committee, a copy is distributed to the board for approval. If approval is obtained by written ballot outside of a board meeting, approval will be reported in the test committee report and noted in the board minutes.
10. Final changes are coordinated by the test committee chair. The test committee chair communicates all changes approved by the board to the testing agency that prepares the final copy for proofing. The test committee chair or designee(s) conducts the final proof.
11. The testing agency publishes the final copy and distributes to the executive office for distribution beginning January 1st of the odd year. This form will continue to be used through the next two years.
12. CBIC shall determine how remaining copies of outdated versions are to be used.

## **2.10 Proctored examination administration**

Policy: The proctored examination is administered at selected contracted sites throughout the year.

Procedure:

1. Testing sites must meet standard test site specifications accepted by the testing agency.
2. The proctored examination is administered in multiple sites as established by contract.
3. The testing agency 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 SARE administration for self-assessment and recertification**

Policy: The Self-Assessment Recertification Examination (SARE) may be requested by any individual for the purpose of self-assessment or recertification through the CBIC executive office.

Procedure:

1. Individuals may request the SARE by completing an application form and submitting the specified fee to the CBIC executive office. There are no eligibility requirements to take the SARE for self-assessment purposes.
2. Certificants who wish to re-certify by SARE must indicate so on the application form and submit an additional \$50 to cover costs of updating the database and issuing a certificate. Certificants have the option to recertify by SARE or proctored exam.
2. The executive office will fill orders by sending the directions and examination booklet to applicants who have submitted sufficient funds.
3. Candidates may complete the examination using reference materials at their own pace and in the setting of their choice. Persons taking the SARE for self-assessment should complete and return the answer key in the same calendar year it is purchased to ensure the same version of the SARE is still being scored. Certificants recertifying by SARE must submit the answer key by November 1 of the year their certification expires.
5. The SARE is copyright protected. Although one copy of the SARE may be purchased for group study, it is illegal to make copies of the question or answer booklet. Only original answer keys will be accepted. Only one answer key is provided per purchased SARE. Individuals who report their answer key has been lost will only be provided an additional SARE if proof of original purchase is established. These persons must personally record their answers on an original answer sheet.
6. Answer keys are submitted to the executive office. The executive office must verify original purchase and completion of answer key on original copy. The executive office will verify that persons requesting to recertify by SARE are eligible. Answer keys and certification status are forwarded to the testing agency for processing.
7. Results and an explanation booklet are sent to candidates by the testing agency. Results include a comparative analysis of the candidate against composite performance statistics from all candidates taking the same form of the SARE to date.

Candidate comments are submitted to the test committee chair on a quarterly basis. Reported problems are immediately reported to the test committee chair and/or president. On an annual basis a preliminary item analysis (PIA) that is a summary of test item performance and pass/fail statistics is submitted to the test committee chair. The test committee will review these results with a summary provided to the board.

## **2.12 Contact Hours for Nursing Continuing Education Credit for the SARE**

Policy: The Test Committee will apply for ANCC-approved contact hours in nursing continuing education for the SARE examination. When approval is received, contact hours will be awarded to all those who complete the SARE, regardless of score received. Record keeping is maintained by the test committee as per ANCC requirements.

Procedure:

1. The Test Committee Chair will submit an application to APIC for each new edition of SARE in order to obtain contact hours for nursing continuing education credit for those candidates completing the SARE. Each edition of SARE will be approved for contact hours for 2 years (only for that edition).
2. On November 1 of the even-numbered years the Test Committee Chair will contact the director of education at the APIC national office for the application materials needed to obtain contact hours for an ED-II (independent study).
3. In even numbered years, the Test Committee Chair will provide biographical data forms to each SARE Test Committee member for completion and inclusion in the CE application packet.
4. The SARE Test Committee will determine the number of hours taken to complete the SARE based on the summary of the previous edition's evaluations.
5. The CE registration fee is set by the APIC National Office and should be included in the strategic budget for the even-numbered years.
6. The CBIC Office will send copies of the returned SARE evaluations to the Test Committee Chair quarterly in order for the Test Committee Chair to send the annual summation report to APIC National Office in December.
6. The CBIC Office will send the approved certificates awarding the designated contact hours of nursing education credit to those individuals completing the SARE. These certificates are mailed with the Score Report and Directions and Explanation Booklets.

### **2.13 Item and test performance analysis**

Policy: The test committee and testing agency will conduct a preliminary item analysis (PIA), which evaluates the performance of individual test items and test forms following each administration of the proctored examination and annually on the SARE.

Procedure:

1. An annual written summary of item performance is prepared by the testing agency 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. If candidates who chose the correct answer had higher total test scores than those who missed the item, there would be a positive correlation. (However, items with a high P value will have a relatively low discrimination index.) Items that discriminate well generally have a .20 value or higher.
  - f. Overall test performance to include range, mean, standard deviation, and reliability.

- g. Item analysis for the SARE does not include results from candidates taking the SARE for self-assessment only.
2. The testing agency will flag items, which from a psychometric standpoint do not perform well, or have areas of concern.
3. A summary sheet of all comments provided by candidates is provided.
  - a. In addition to candidate comments on examination forms, all correspondence regarding questions about the certification examination content, scoring or concerns about the administration test site conditions are to be forwarded to the test committee chair.
4. The test committee chair shall designate two additional members to be included on the PIA conference call. Materials are distributed prior to the call for participants to evaluate. During the call, the testing agency reviews all problematic items on the conference call and the PIA members determine the following:
  - a. if an item requires further committee review or revision. These items are changed to a review status with comments of the PIA noted.
  - b. If an item is appropriate for scoring.
  - c. If a key change is indicated. Changes are indicated if 1) an item has been incorrectly scored, 2) there is no correct answer, 3) more than one answer is correct, 4) candidate comments provide valid concerns supporting a key change, 5) the discrimination index indicates a problem with an option or 6) the PIA members concur a distracter may be controversial or unfair to the candidate.
5. Key changes are coordinated by the testing agency and individual score reports are run. Pass/fail statistics are reported to the test committee chair who communicates results to the president. A test analysis summary is published following each administration of the proctored examination, and copies are provided to the CBIC directors.
6. Individual score reports for candidates taking the proctored examination is only released after the PIA has been completed. Individual score reports are released in advance of the PIA for candidates taking the SARE.
7. The PIA is conducted for the SARE at the end of the year after processing of the SARE's submitted for recertification by the November 1st deadline. If the PIA review indicates a key change is necessary the test committee chair will coordinate with the testing agency to change the scoring, re-run the data, and inform test takers as deemed appropriate by the test committee in collaboration with the administrative committee. This process will require a work order with additional expense to the board. The "retrospective" PIA is necessary when results are released on an ongoing basis rather than batched and released after a composite analysis.

## **2.14 Cut score determination and equating**

Policy: A cut score will be established for each newly developed content outline resulting from an updated Practice analysis. The process for determining a cut score shall be consistent with current standards of the testing industry and NCCA recommendations.

Procedure:

1. The process shall be coordinated by the testing agency 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. A minimum number of raters will be determined by test industry standards. If there are not sufficient members from the test committee or CBIC directors, current liaisons, past test committee/CBIC directors or PA members may be selected.
3. A separate cut score shall be established for the proctored examination and the SARE.
4. A process known as equating is done by the testing agency between administrations to adjust for variation in difficulty between test forms. However, the same cut score is used for different administrations of the same form.

## **2.15 Establishment of a pass/fail database**

Policy: The testing agency is responsible for scoring, determining pass/fail status and notifying candidates of individuals' scores.

Procedure:

1. The testing agency will score and run individual score reports for candidates. Score reports and pass/fail notification will be mailed directly to the candidate by the testing agency.
2. The testing agency will provide all pass/fail candidate score reports and a composite database on disk and hard copy to the executive director.
3. The executive director will oversee that candidate pass/fail information is added to the overall certificants database, adding new certificants and updating recertifiers and failed recertifiers.
4. The executive office will send congratulatory letters and certificates to successful candidates. Letters will also be sent to failed candidates.
5. The executive office will verify the database with score reports and establish a list of passers. The list of passers will be provided to the test committee chair. The test committee chair will verify the number of names with the pass/fail statistics provided by the testing agency.

## **2.16 Test and item security**

Policy: Participants in test committee meetings or CBIC board meetings where test materials are reviewed shall uphold strict confidentiality regarding specific questions, answers and other information discussed or reviewed.

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. Secured materials, which are mailed, must be sent by certified mail or federal express. The sender shall verify the appropriate address and inform the recipient of the anticipated delivery so the materials can be received. Recipients must not allow for materials to be left in a non-secured drop off area. All items must be returned as instructed to the appropriate person in like manner by the scheduled return date.
4. CBIC members are not eligible to take the examination for two years following the end of their term. If these individuals are due to re-certify, they may maintain CIC status until the first year they are eligible to re-certify, which is the third year following the end of their term.
5. Participants are not eligible to endorse, assist or participate during the year that they serve on test review in any educational endeavor, which has, as its primary purpose the preparation of individuals for passing the certification examination.
6. Participants in test review who are involved in general infection control education programs shall 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.
7. Non-board participants in test review or test committee meeting are asked to sign the conflict of interest form prior to participating in the review. *See Appendix 2.16.1*

## **2.17 Individual test result security**

Policy: CBIC, in conjunction with its testing agency, maintains complete confidentiality of individual test scores. Summary statistics are provided at open forums and published periodically in the infection control literature. The test committee chairman, with assistance from the testing agency and executive office, shall be 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 shall do so in writing to the CBIC executive office.
2. The test committee chair has the authority to release the summary of test data information.
3. As soon as all test analysis reports are completed and provided to the test committee for examinations completed in a calendar year, a table of year-end statistics will be compiled by the test committee chairman. Statistics will include the number of first-time, repeat, and

re-certifying candidates attempting, passing and failing each proctored test administration and the SARE for a calendar year.

The table and congratulatory paragraph is compiled by the test committee chair and submitted to the executive office for submission for publication by April of the next year. The executive office will submit copies to the administrative committee, and subsequently to the BOD. A sample of standard format and information is attached in section 2.16.1.

4. The list of names and statistics are forwarded annually by the CBIC executive office to the APIC and CHICA Canada offices for updating the APIC and CHICA membership files.
5. Copies of any published data or previously approved requests shall be distributed by the CBIC executive office directly to anyone who requests this information in writing.

## **2.18 Candidate Handbook publication**

Policy: CBIC shall publish 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 annually. 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 will not take effect until published in the following years written Candidate Handbook.

### Procedure:

1. The test committee chair is responsible for the annual review of the Candidate Handbook
2. Initial draft changes are review by the test committee or a subcommittee of the test committee, administrative committee, executive director and testing agency.
3. Final proposed changes are submitted to the CBIC BOD for approval at the fall BOD meeting.
4. The test committee chair and/or executive director coordinate the final changes with the testing agency for publication to ensure completion of printing in advance of January 1 as per established timeline.

## **Category 3.0 Other contractual agents: legal, auditor, etc.**

It is CBIC's responsibility to retain and review legal counsel and auditor services. Contracts will be negotiated as necessary to maintain these services; performance evaluations of incumbents will be 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 shall be responsible to the administrative committee and to the board of directors through the president in all legal matters concerning CBIC.

### Procedure:

1. Legal counsel will review and negotiate, when necessary, all contracts with vendors, including printing, contracts, management/testing agency 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 administrative committee or a majority of the entire board.
3. Legal counsel shall be 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 will be provided to the board.
5. Legal counsel may review bylaws for currency and/or input into proposed changes.
6. Legal counsel will provide consultation re: examination challenges and/or in the event of ensuing litigation.
7. Legal counsel facilitates CBIC officer and director liability insurance, travel/accidental death insurance and corporate bonding.
8. Legal counsel retains the corporate seal.
9. A retainer fee for the coming year shall be submitted by legal counsel to the executive management by September 1st. Executive management will forward to the president and the administrative committee for approval.

### **3.2 Auditor**

Policy: The auditor shall be responsible to the administrative committee and to the board of directors through the president in all financial matters concerning CBIC.

Procedure:

1. The auditor shall be 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 administrative committee.
3. The auditor shall be excused from the executive sessions of such meetings unless specifically invited to attend by the board of directors.
4. The auditor will audit or arrange for an audit of the organizational financial records annually. A certified financial statement is provided to all board members four months after the end of the fiscal year.
5. Prepares all governmental filing requirements.

6. Sends final, completed tax form annually to CBIC Treasurer for signature and mailing to specified IRS location by certified mail.
7. A detailed letter of engagement for the coming year shall be submitted by the auditor to the treasurer by September 1st.

## **Category 4.0 CBIC Board Operations**

### **4.1 CBIC Board of Directors meetings**

Policy: The Certification Board of Infection Control and Epidemiology, Inc. shall conduct a minimum of one and routinely three 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 administrative committee or by a majority of the board of directors.

Procedure:

1. The CBIC president will determine the date(s) and location(s) for the board of directors meetings during his/her term and communicate these in writing to the board and management at least six months prior.
  - a. Dates and sites for all three board of directors meetings will be determined during the spring BOD meeting of the preceding year as much as possible.
  - b. In collaboration with the CBIC president and/or president elect, management will make all logistic arrangements for these meetings and coordinate travel and room arrangements for the directors.
  - c. Site selection for the board meetings will focus on ease of travel (major ports), economy and weather conditions.
  - d. Accommodations will be 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 will be incorporated into the appropriate proposed annual operating budget and approved by the board.

Travel arrangements will be made through the approved CBIC travel agent or directly by the board member in the most cost effective and reasonable manner. Directors will be expected to make travel arrangements promptly to facilitate the lowest fares.

- b. Directors electing to alter travel arrangements other than direct to and from the meeting or alter reservations resulting in increased fare will be responsible for the difference in the fare.
- c. Travel by private car will be reimbursed at the current government rate, including tolls and parking, not to exceed supersaver airfare for the same distance.

- d. Ground transportation to and from the airport by shuttle or taxi will be 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. Board members are funded to share rooms. Individuals requesting a private room will be responsible for the lodging rate not covered on the master account at checkout.
- f. Expenses incurred by a board member's significant other or guest will be 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.

## 4.2 Board Meeting Agenda

Policy: The president will 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 president will prepare a written agenda, including standard items listed below and those elicited from the directors in advance.
2. Board packets containing required committee reports and attachments for agenda items will be prepared in advance of the meeting by the assigned contractual agent, officers or directors and submitted to management in sufficient time to allow distribution to the directors at least two weeks in advance of the meeting.
3. Board members will be 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 will request a specified amount of time with the president at least 30 days in advance of the meeting. Committee business should be conducted through the mail, fax, E-mail or telephone using the most cost effective approach for the business at hand.
5. Committee, project and task force reports to the board will utilize the following format:
  - a. Committee (project/task force) name
  - b. Strategic plan goal/objective/tactic
  - c. Budget reconciliation
  - d. Action items
  - e. Informational items

6. Board meetings will be conducted by the president following parliamentary procedure.

Standard agenda will include:

- a. Call to order
- b. Acceptance of agenda
- c. Approval of minutes
- d. President's report
- e. Ratification of administrative committee actions
- f. President elect's and past president's report, as needed
- g. Executive director's report
- h. Correspondence/secretary's report
- i. Treasurer report
- j. Liaison reports
- k. Committee reports
- l. Judicial ethics
- m. Bylaws and policy
- n. Test/research
- o. Strategic planning/business planning cycle
- p. Old business
- q. New business
- r. Distribution of the action list
- s. Board evaluation
- t. Adjournment
- u. Executive Session

7. The first board meeting of the year should be held during the first two months of the year and will include the orientation meeting for new board members.

8. Election of CBIC officers will be conducted at the fall board meeting. The fall board meeting will also focus 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 shall be named by the president as needed to conduct the routine business and work of CBIC

Procedure:

1. Each committee or task force shall establish a written policy or charter defining the goals and objectives for the working group consistent with the strategic plan and direction of the CBIC.
2. Chairman and committee members shall be assigned prior to the January board meeting by the incoming president.
  - a. Committees, with the exception of the Practice analysis task force, shall be made up solely of CBIC board members, unless a non-board member is approved by the CBIC board.

- b. Test committee chair shall be named at the fall meeting to facilitate the transition process and to begin test development work immediately at the beginning of the year.
  - c. 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.
  - d. Invited guests may serve as advisors without voting privileges.
  - e. Liaisons may serve as committee members in a non-voting capacity.
3. The chairperson shall be responsible for establishing a timeline for the work of the committee, meeting agendas, and minutes as indicated.
  4. The chairperson shall prepare written committee reports as specified in section 4.2 #5 of this policy.
  5. The chairperson shall maintain effective channels of communication of committee activities to the president and administrative committee and the executive director.
  6. The chairperson is responsible to request authorization from the board for all new projects undertaken by the committee.
  7. The committee is responsible to identify anticipated expenses in preparation of the annual operational and five year budget and communicate such to the executive director as per the established budget preparation procedure.
  6. The committee is responsible to request 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 or test committee chair if they will be arriving late, leaving early, or are unable to attend.
2. The president or test committee chair 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. Other directors to attend a committee meeting or past directors to attend a board meeting may be considered.
3. Board members unable to fulfill their commitments to the board may be replaced if necessary.

4. Meeting attendance will be 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 the CBIC.

Procedure:

1. Communication between CBIC and certificants and/or applicants
  - a. Response 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, will be referred to the president or administrative committee.
  - 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 first be copied to executive management and approved by the president or administrative committee.
  - d. Copies of correspondence provided to directors by executive management should not be responded to unless requested by the executive director or president.
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 vs. 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 administrative 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 management.

#### **4.5.2 Confidentiality**

Policy: CBIC directors will 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 will 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 will not be discussed by individual directors outside the board until the item is voted up or down 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 consensus is expected.
4. Directors will explicitly follow instructions provided by the testing agency 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: During their term of office and for one (1) year 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.

Procedure:

1. Assessment of potential conflict of interest will be a standard agenda item at the beginning of each CBIC board meeting. Any conflict will be disclosed and recorded in the minutes.
2. All new board members will be advised of this policy during board orientation.
3. Any board member having a duality of interest or possible conflict of interest on any matter shall not vote on the issue. Minutes will reflect disclosure of conflict and abstention from the vote.
4. 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.
5. 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.
6. Materials developed by the Certification Board of Infection Control and Epidemiology, Inc. are solely owned by the corporation. Individual directors will not claim ownership or copyright.
  7. All new board members will be advised of this policy upon entering office.
  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.

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

Since 1983 the Certification Board of Infection Control and Epidemiology, Inc. (CBIC) has certified professionals whose primary responsibility is the implementation of infection control and epidemiological principles in various patient care settings. The designation Certified in Infection Control (CIC®) is recognized by health care 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®). To protect the public from individuals who hold themselves out as certified, credentialed professionals, without having first been awarded the CIC® credential by CBIC or who otherwise falsely represent their qualifications to CBIC in obtaining such credentials, CBIC has established a judicial and ethics committee (JEC).

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

Policy: The JEC shall be charged with investigating, adjudicating, and disciplining reported incidents in which certification credentials have been falsified or misrepresented, altered examination score reports have been prepared and forged educational documents have been presented. The JEC will also investigate and decide claims of unacceptable or 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 standard of the National Organization for Competency Assurance, which requires that member organizations have an enforceable disciplinary process.

#### Procedure:

1. Meetings of the JEC can be held by conference call or other telecommunication except the meeting in which the initial determination is made regarding the potential violation(s) and sanction(s).

2. Written complaints from individuals will be accepted only if they are signed. No action will be taken on anonymous complaints. If an initial complaint is accepted by the JEC, the complainant shall be required to authorize the disclosure of all information reasonably related to the complaint to 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. The JEC shall be able to act upon such credible evidence that they may become aware of without the necessity of a formal, written complaint.
3. When the CBIC receives a written report, or in its discretion, receives what it believes to be credible evidence, of an incident or professional misconduct which falls into one of the preceding categories, such complaint shall be referred promptly to the JEC which shall then initiate an investigation to determine whether such conduct warrants formal action.
4. To protect the credential and assure responsible practice by its certified members, the CBIC depends upon infection control professionals, employers, state licensure boards, and the public to report incidents, which may require action by the JEC. Complaints which appear to fit the scope of the JEC's responsibilities may be sent to:

Chairman, CBIC judicial and ethics committee  
C/O CBIC Office

## **5.2 Types of complaints**

Policy: The 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 examination candidates and/or certified individuals may be disciplined.

Procedure: Examples of misconduct for which the judicial ethics process may be implemented includes:

1. Obtaining or attempting to obtain certification or recertification by fraud, deception, or artifice.
2. Knowingly assisting another person or other persons in obtaining or attempting to obtain certification or recertification by fraud, deception, or artifice.
3. Illegal use of a certification certificate or falsification of credential.
4. Unauthorized possession and/or distribution of any official CBIC testing or examination materials including copying and/or reproduction of any part of the CBIC examination questions or problems.
5. Unauthorized use of the registered certification mark owned by the CBIC. This includes the designation CIC® (Certified in Infection Control). Trademark registered 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 shall be 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 chair of the JEC shall provide written notice via certified mail to the individual referred to as the “charged party,” fairly describing the particulars of the complaint. The “charged party” shall be 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 shall also inform 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, shall constitute 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 chair of the JEC shall forward the initial complaint and the response by the charged party, together with any supporting materials, to a probable cause committee (PCC) of a former member of CBIC board but not the immediate past president and two (2) other former CBIC board members such materials and determine, based on majority vote, whether there is probable cause that the allegations advanced by the charged party, if proven, would constitute a violation of the policy. In the event probable cause is found, the matter will proceed to a formal evidentiary hearing or, if no probable cause is found, then the complaint shall be 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 shall be notified in writing of such determination and that such notice be given by both certified mail/return receipt requested and regular first class mail/postage prepaid. The chair of the JEC can over rule 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 on the basis of the initial complaint, any supporting evidence, and the initial response by the charged party, that probable cause exists, the chair of the JEC shall notify 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 shall 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 of the JEC that it has completed the investigation; the chair shall set a hearing date which shall, absent good cause attributable to the investigative process, be within sixty (60) days from the date of the expiration of thirty (30) days from receipt of the response by the charged party. The charged party, or its legal counsel, shall be entitled to review the findings of the investigator/presenter and information obtained in the course of the investigation. The charged party shall have fifteen (15) days within which to submit a written rebuttal if it wishes. The charged party may waive its right to make a rebuttal and, in the event of such waiver, the hearing date may be advanced.

4. *Investigator/presenter:* An investigator/presenter shall be appointed by the president of CBIC. This person (who may, but need not be, a member of the CBIC board of directors) shall contact individuals who may have knowledge of facts pertaining to the alleged offenses and otherwise investigate evidence which may be relevant, to be presented to the JEC on behalf of the complaint. The designated investigator/presenter shall not sit on the JEC, shall not make any factual determination of whether a violation or violations have occurred and shall not have any authority other than as expressly set forth herein. The investigator/presenter shall notify the chair of the JEC when s/he has completed the investigation.
5. *Formal hearing:* The hearing shall be at a specific time and place set forth in the Notice of formal hearing served on the charged party or counsel therefore and shall be served no later than fourteen (14) days prior to the hearing. The hearing shall be presided over by the chair of the JEC or designee; the investigator/presenter shall represent the CBIC board position to the JEC, the charged party may be represented by legal counsel; 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 chair of the JEC, with the charged party being the last to make its argument. The JEC shall be responsible for making an audio recording of the proceedings and all parties and witnesses shall be required to cooperate in making such a recording. 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 shall engage in private deliberations outside of the presence of either the charged party or the investigator/presenter, free from outside influence. A decision shall be made by majority vote. The chair of the JEC shall mail 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 shall provide specific finding(s) as to what conduct constituted a violation(s) of CBIC policy(s)/procedure(s) if any. This notice shall also specifically provide what sanctions (if any) are to be imposed. A separate vote, by a majority, is required as to whether a violation or violations occurred, and a separate majority vote as to what sanctions shall be imposed. The notice of decision shall also set 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 those

members who serve on the JEC; and excluding the investigator/presenter; shall review the record and determine whether to affirm, modify or reverse the decision of the JEC. The appeal shall be decided by a majority voting board of director members 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 will be available 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 president shall appoint an investigator/presenter, if necessary, to conduct a further investigation, including interviewing new witnesses. This additional investigation shall be 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 shall have 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 shall be 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.

Original policy 11/95

## **CATEGORY 6.0 Certification process and logistics:**

Policy: Certification in infection control is a voluntary, nongovernmental process of granting professional recognition to individuals within the clinical practice of infection control by providing a measurement of a standard of current knowledge. Certification is acquired by demonstrating a level of knowledge by, computerized, proctored or self-assessment (SARE) examination. Passing the certification examination entitles the individual to use the CIC<sup>®</sup> credential (Certified in Infection Control) for five (5) years at which time recertification is necessary for continued use of said credential.

### **6.1 Eligibility:**

Policy: Eligibility requirements to sit for the examination include both clinical practice and education requirements (See the Candidate Handbook).

#### Procedure:

1. All candidates for initial certification must have practiced infection control for a minimum of two years with a minimum of 800 hours worked prior to the date of the examination. Practice requirements must be met for initial or lapsed certification only, not recertification.

The definition of infection control practice is explained in the Candidate Handbook. The clinical practice of infection control occurs in a patient care setting and uses the knowledge and skills described in the content outline of the Candidate Handbook. Activities must include those listed in the Candidate Handbook:

2. The educational requirements for first-time candidates, candidates who have not successfully passed the examination, and lapsed recertifiers are either:
  - A. A current license or registration/certification as a medical technologist, physician or registered nurse, OR
  - B. A minimum of a baccalaureate degree.

## **6.2 Eligibility waiver:**

Policy: Individuals who do not meet the designated criteria for education eligibility may submit an eligibility waiver application to the executive office.

Procedure:

1. The process for obtaining a waiver application can be found in the Candidate Handbook.
2. The waiver application materials are reviewed and summarized by the executive office with final approval by the administrative committee including the Test Committee Chair.

## **6.3 Application Process:**

Policy: The application process is similar for all forms of CBIC testing. The process for applying for Certification in Infection Control is thoroughly explained in the current year's Candidate Handbook.

Procedure:

1. An application form and application receipt postcard can be obtained by requesting a Candidate Handbook for the year in which the candidate wants to take the certification examination.
2. Candidates must file either a paper application form or apply online for the infection control certification examination along with the appropriate fees. No application will be processed unless current fees are included. Documentation is not required at the time of application. However, the testing agency will audit a percentage (as designated by the board) of applications for submission of documentation of eligibility.
3. An application receipt postcard will be mailed to candidates within one week of receipt of the application by the Testing Company if the applicant includes the postcard contained in their handbook with the completed application form. This postcard **ONLY** confirms receipt of the application and does **NOT** report a candidate's acceptance status.

4. Any necessary follow-up correspondence will be mailed to candidates within three weeks of the Testing Company's receipt of the application.
5. There is no limit on the number of times a candidate may apply and sit for the examination.

#### **6.4 Application verification audit:**

Policy: All candidates designating "other" as their primary place of employment shall be subject to a verification audit in order to assure that candidates who are applying to take the infection control certification examination are practicing infection control as defined in the Candidate Handbook. The audit is applied to maintain a consistent and fair method of evaluating examination applications that are submitted by candidates.

#### Procedure:

1. The audit will be conducted over the telephone.
2. An application verification audit form will be completed on each candidate that is contacted. (see Appendix for attached form)
3. The testing agency shall be responsible for conducting the audit.
4. The person conducting the audit will contact the applicant and verify that he/she is performing at least five (5) of the seven (7) activities listed in the definition.
5. The candidate must be performing the first two activities and at least three (3) of the remaining five (5) to be eligible to take the examination.
6. The individual who signs the verification statement may be contacted if any questions remain regarding eligibility.
7. Completed application verification audit form will be kept on file for seven (7) years at the executive office with the original application.
8. Applicants who have taken the examination by submitting false information will be referred to the judicial ethics committee for disciplinary action.

#### **6.5 Admission tickets and legal identification, written exams**

Policy: An admission ticket is required only for the paper and pencil examination administrations. No admission ticket is required for computerized testing. Legal identification and at least one photo identification is required for admission to all exams. The current candidate handbook contains details of the scheduling and admissions process.

#### Procedure:

1. Approved candidates taking the written exam will be mailed an admission ticket approximately two weeks prior to the examination date. The specific test center location and reporting time is printed on this ticket along with the candidate's name and address. This ticket **MUST** be presented at the test center to gain admittance to the examination.
2. In addition to the admission ticket for candidates taking the written exam, two forms of identification, one of which must be a legal identification bearing your photograph and signature, are required. Legal identification includes a driver's license, government identity card or passport. Credit cards, employment badges, student ID cards or club membership cards are **NOT** acceptable. The second identification must verify the signature and name.
3. Candidates are required to sign in upon entry to the test center.
4. For candidates taking the written exam, the time, date and location of the examination are printed on the candidate's admission ticket. Candidates must be on time. All candidates should report to assigned centers at least 30 minutes before the examination is scheduled to begin for registration and check-in. Latecomers may be admitted to the examination at the discretion of the test center supervisor, as long as test booklets have not yet been distributed, but candidates will not be permitted to work beyond the time scheduled for completion of the examination.

## **6.6 Americans with disabilities act accommodations:**

Policy: The Certification Board of Infection Control and Epidemiology, Inc. shall abide by the Americans with Disabilities Act of 1990 and any subsequent additions to the act.

### Procedure:

1. Examinations will be constructed in such a way as to measure the knowledge necessary to practice infection control.
2. CBIC will assure that the entity that administers the certification examination is in compliance with ADA standards.
3. The entity administering the examination will offer the examination in an accessible location.
4. There will be 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 in writing to the testing agency and accompany the application.
5. Verification of disability by a physician and statement of assistance needed must be included on the form.
6. The administering agency shall establish a simple process to ensure that test center personnel will be 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.

### **6.7 Language requirements:**

Policy: A candidate may request the examination be interpreted in a language other than English.

Procedure:

1. Requests for such interpretation must be made in writing to the testing agency 180 days prior to the test date and accompany the application.
2. The testing agency will arrange for the interpreter to be present at the test site, and the candidate must prepay this service before sitting the examination.

### **6.8 Receipt of score reports:**

Policy: Approximately six weeks after the proctored or SARE examination, candidates will receive a copy of their examination scores. At computerized sites, candidates may receive their scores before leaving the testing site.

Procedure:

1. Score reports for paper & pencil proctored examinations are mailed six weeks after the date of examination.
2. Individual score reports will not be released without the candidate's written authorization. No scores will be given over the telephone.
3. Individual scores will NOT be sent to employers, schools or other individuals without express written consent from the certificant.
4. Requests for duplicate score reports must be made in writing to the testing agency and accompanied by the fee stated in the candidate handbook.

### **6.9 Examination challenges:**

Policy: Any questions and challenges to the examination must be submitted to CBIC in writing by the challenger within 45 days after the examination results are mailed. Verbal challenges will not be 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 CBIC Test Committee Chair and President.
3. The Test Committee Chair or President will provide the challenger with general information on the challenge process.
4. If the Test Committee Chair or P-president considers the challenge to warrant action by the testing agency, then the testing agency will be promptly notified. Copies of the challenge correspondence will be forwarded to the testing agency and to legal counsel.
5. Candidate comments collected on the day of testing will not be considered as challenges, but will be addressed separately, through the PIA process.

#### **6.9.1 Procedures for various types of potential challenges:**

1. Incorrect scoring of exam/hand score request (e.g. examinee claims correct answer is scored by testing agency incorrectly – this option is only available for the paper & pencil examination administrations.)
  - A. Challenger must request a hand score by completing the form in the Candidate Handbook and submitting the required fee as specified in the Candidate Handbook no later than 45 days after examination results are mailed.
  - B. After receipt of the form and fee, the testing agency will hand score the test.
  - C. Any further correspondence between the challenger and the testing agency will be copied to the CBIC president.
  - D. If an error is detected, the testing agency will send the written results of the hand score to the candidate within 30 days of receipt of request. The CBIC president and test committee chair will be notified of results prior to sending them to the candidate. Additional questions by the candidate must be submitted the CBIC president within 30 days after receipt of hand score results.
  - E. If a scoring error is detected that may affect all other candidates, the testing agency notifies the CBIC president. The test committee chair and CBIC president will be immediately contacted and these individuals will prepare a plan of action.
2. Question regarding accuracy of keyed answers (e.g. alleged tampering of answer sheet)
  - A. If the challenger is not satisfied with the results of hand scoring, the individual may request to see his/her answer sheet. This request must be in writing and sent to the CBIC president.

- B. CBIC president discusses the request with the administrative committee, and if they feel the request is justified, directs the testing agency to allow viewing of a photocopy (not the original) of the candidate's answer sheet in the office of the testing agency.
  - C. The challenger may not view the test booklet. A proctor will be assigned to read the item(s) being challenged. Written notations of any discussion by the challenger will not be allowed.
  - D. The testing agency will notify the challenger in writing that:
    - 1) The challenger must pay all of his/her expenses to the testing agency site.
    - 2) The challenger will have a maximum of two (2) hours to review the challenged item(s) read by the proctor and to view a photocopy of his/her answer sheet. A keyed answer sheet will not be provided for review.
    - 3) No reference material can be brought to the site; no questions can be asked of the proctor; and no copies can be made of any materials.
    - 4) No tape recording or photographic equipment can be brought into the review room.
    - 5) The challenger may not have anyone accompany him/her into the review room.
    - 6) The challenger is NOT permitted to leave the room with the answer sheet.
    - 7) An appropriate proctor will be selected by the testing agency or CBIC. The challenger will be under direct observation throughout the review time period.
    - 8) At the completion of the session, forms will be provided by the testing agency to allow challengers to document any particular concerns related to the item(s) reviewed. The testing agency will forward these forms to the test committee chair and CBIC president for review along with a written evaluation.
  - E. The testing agency submits a written summary of the review of the challenged item(s) and answer sheet to the test committee chair.
  - F. The CBIC president and test committee chair will review the summary. The conclusions and supporting data will be forwarded to and discussed with the legal counsel. A joint decision will be made about notification of results to the challenger.
  - G. If the challenger does not accept the CBIC's decision, they must notify the CBIC president. The CBIC president will inform the challenger in writing that any further appeals must be addressed to CBIC legal counsel.
3. Question regarding correct answer to an item (e.g. challenger claims keyed answer to item is incorrect).

- A. Challenger must provide in writing to the CBIC president specific details on item(s) challenged.
- B. President will notify the Executive Office and the Executive Office will send the individual memo explaining response policy.
- C. CBIC has primary responsibility for examination content and procedural issues.
- D. The Testing Agency has primary responsibility for psychometrics, scoring errors, and technical issues.
- E. CBIC president submits a copy of the challenged letter and specific items as appropriate to the test committee chair.
- F. Test committee researches the item(s) in question to validate the answer(s) and reports findings/recommendations to the CBIC president within 30 days.

Suggested sources for research/review:

- 1) Literature review (it is not necessary to provide the challenger with references)
  - 2) Consultation with other CBIC members or non-CBIC members with expertise in area of content of item being challenged.
  - 3) Consultation with testing agency.
- G. CBIC president compiles findings/recommendations and determines in conjunction with the Test Committee Chair and the Testing Agency if the situation warrants an individual response. If a response is required, the President notifies the challenger in writing within 60 days of his/her request.
  - H. If the question or answer is determined to be correct, a summary of the evidence to support the correct answer along with the challenger's letter will remain on file at the Executive Office.
  - I. If the question and/or answer are determined to be incorrect:
    - 1) Test committee chair, after consultation with CBIC president and Legal counsel directs the testing agency regarding a course of action for re-scoring all examinations and changes in pass/fail results.
    - 2) Testing agency notifies all candidates whose scores changed as a result of the revision.
    - 3) Testing agency submits names of additional candidates who have passed exam as a result of re-scoring to the test committee chair. Test committee chair notifies CBIC executive office to issue certificates.

## **6.9.2 Response to candidate comments on day of examination**

Policy: Responses to candidate comments on testing conditions collected on the answer sheet will be reviewed by the testing agency. Candidate comments on individual items will be reviewed by the testing agency and considered as a part of the preliminary item analysis (PIA) procedure following the administration of a new test form.

Procedure:

1. All comments on testing conditions and individual items will be forwarded to the test committee chair.
2. If necessary, the CBIC president will be notified about the testing condition comments and a plan of action will be identified.
3. The PIA committee will review a summary of the number of comments and individual comments.

### **6.9.3 Financial obligations relating to challenge**

Policy: Expenses incurred as a result of a challenge shall be the responsibility of either the testing agency, CBIC or the challenger as determined by either contractual agreement or as stated in the CBIC policies and procedures.

Procedure:

1. Testing agency: The financial obligations of the testing agency 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 his/her responsibility unless either CBIC, the testing agency, 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.

### **6.10 Disciplinary action:**

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 obtained from the CBIC executive office upon request.

## **Category 7.0 Recertification and process for failed candidates**

### **7.1 Recertification**

Policy: In order to maintain certification and use of the CIC<sup>®</sup>, the candidate must recertify every five years by taking and passing either the proctored examination or the Self-Assessment Recertification Examination (SARE) version of the exam.

## **7.2 Process to maintain CIC<sup>®</sup> status for failed candidates:**

Policy: Candidates who fail to achieve a passing score when re-certifying by either proctored examination or SARE may maintain their certification by passing the examination within the next calendar year.

### Procedure:

1. Candidates who have taken the proctored examination to re-certify but fail to achieve a passing score may maintain certification by retaking and passing the proctored examination or taking and passing the SARE version within the next calendar year.
2. Candidates who have taken the SARE version to re-certify but fail to achieve a passing score may maintain certification by taking and passing the proctored examination within the next calendar year.
3. The candidate must pass either the proctored examination or the SARE within one (1) year to maintain their certification status.
4. A temporary extension of CIC<sup>®</sup> (Certified in Infection Control) status is in effect during this one (1) year period.
5. The candidate is then certified for four (4) years upon passing either the proctored or SARE version of the examination.

## **Category 8.0 Awards**

### **8.1 Chapter Awards**

Policy: The CBIC Chapter Certification Award is granted to an APIC and CHICA Chapter that promotes certification among its infection control professionals.

### Procedure:

Chapters wishing to apply for the award need to submit 5 copies of the application and materials by April 1 of each year.

The CBIC executive office will provide the marketing committee one copy of each of the submissions and the accompanying materials along with scoring form within two weeks of the submission deadline.

Chapter Awards will be awarded at the CHICA and APIC Conferences respectively along with a plaque and \$200 check (prepared by the Executive Office 2 weeks prior to the conference dates).

## 8.2 CBIC Achievement Award

Policy: The CBIC Achievement Award is an award which any certificant can be nominated for based on their contributions to the industry and the organization, but must meet the following requirements:

1. A recognized professional in the field of infection prevention/control and epidemiology.
2. A certified individual (CIC®) for the year of nomination as well as the year of the award.
3. A professional who promotes and advances the goals of CBIC.

Additionally, the candidate must satisfy several criteria including the following:

1. Demonstration of the ideals of a certified professional, including a demonstrated mastery of knowledge of infection prevention/control and epidemiology.
2. Evidence of contributions to the field of infection prevention and control, *i.e.*, publications, presentations, & community involvement.
3. Demonstration of competency in infection prevention/control and epidemiology and a vision for the future of the practice. The Award recipient receives a crystal award with the lighthouse laser engraved and a voucher for her/his next recertification examination free of charge

Procedure:

1. Nomination forms must be received by April 1
2. The Board of Directors will review all nominations and submit a list of finalists to the Administrative Committee within 30 days of the application deadline for final decision.
3. The Executive Office will order and engrave the crystal award within 2 weeks of receiving notification of winner and will prepare award and voucher for presentation at the APIC annual conference, generally held in June.

# **Appendix**

## **Forms and Sample Letters**

### 3.13.1 Public Member Declaration Form

**NCCA  
Form 1  
Public Member Declaration**

I, \_\_\_\_\_, understand that for NCCA to acknowledge  
(Full name)  
me as a public member on the governing body of \_\_\_\_\_, I must  
(Name of certifying agency)

fit into the NCCA definition of a public member\* and that decision will be based on how I respond to the following statements: (check those statements which are true and explain below why an exception should be made when a statement cannot be checked as true). Neither I nor my immediate family:

1. \_\_\_\_\_ are current or previous members of the profession encompassed by the certification programs of the certifying agency.
2. \_\_\_\_\_ are employers or an employee of individuals in the profession encompassed by the certification programs of the certifying agency.
3. \_\_\_\_\_ are employees of an individual certified by the certifying agency or of an employer of individuals in the profession encompassed by the certification programs of the certifying agency.
4. \_\_\_\_\_ are employees of any certifying agency.
5. \_\_\_\_\_ are currently deriving more than 5% of our total income from the profession encompassed by the certification programs of the certifying agency.
6. \_\_\_\_\_ have derived in any of the five years preceding my appointment as a public member on the governing body more that 5% of our total income from the profession encompassed by the certification programs of the certifying agency.
7. \_\_\_\_\_ have worked for or provided contract services to the certifying agency at any time during the five years preceding my appointment as a public member on the governing body.

Exception explanation:

\_\_\_\_\_  
\_\_\_\_\_

Occupation and discipline (if retired from the work force, state what was true just prior to retirement)

\_\_\_\_\_  
\_\_\_\_\_

Indicate the public perspective you bring to the governing body:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*The public member is considered by NCCA to be a person who represents the direct and indirect users of certificant's skills/services. The public member may be a professional, but should not have similar credentials to the certificant. The NCCA recommends, but does not require, that the public member has at some time been a consumer of the certificant's skills or services or is someone who has a background of public advocacy.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### **3.5 Office of the Treasurer**

## **INVESTMENT GUIDELINES REVIEW**

**Certification Board of Infection Control and Epidemiology, Inc.**  
**Statement of Investment Guidelines**

### **GENERAL INFORMATION**

The purpose of this statement is to communicate to the investment manager a clear understanding of this account's investment objectives and guidelines. This statement outlines an overall philosophy that is specific enough for the manager to understand the organization's expectations, but sufficiently flexible to allow for changing economic conditions and securities markets. The statement provides a definition of risk to guide the manager toward long term rate of return objectives that will serve as standards for evaluating investment performance. The statement also establishes investment restrictions to be placed upon the manager, and outlines procedures for policy and performance review.

Investments are made for the exclusive purpose of providing the maximum total return within the constraints described herein. The assets must be invested with the care, skill, and diligence that a prudent man acting in this capacity would undertake. All investments must be made within the guidelines of quality, marketability and diversification mandated within this document.

The assets within the portfolio should be allocated between cash equivalents, fixed income and equity securities. These may include money-market funds, U.S. Treasury and federal agency obligations, corporate bonds, commercial paper, banker's acceptances, certificates of deposit, convertible securities, preferred and common stocks. All issues shall be evaluated by the manager, and shall be selected on the basis of proven operating records, sound financial conditions, good marketability and reasonable valuations.

### **SCOPE OF THIS STATEMENT**

This statement reflects the investment policy, objectives, and constraints of the entire Certification Board of Infection Control and Epidemiology, Inc. ("CBIC")

### **PURPOSE OF THIS INVESTMENT GUIDELINE**

This statement of investment guidelines is set forth by CBIC in order to:

1. Define and assign the responsibilities of all involved parties.

2. Establish a clear understanding for all involved parties of the investment goals and objectives of Investment Account assets.
3. Offer guidance and limitations to all Investment Managers regarding the investment of Investment Account assets.
4. Establish a basis for evaluating investment results.
5. Manage Investment Account assets according to prudent standards as established in common trust law.
6. Establish the relevant investment horizon for which the Investment Account assets will be managed.

In general, the purpose of this statement is to outline a philosophy and attitude that will guide the investment management of the assets toward the desired results. It is intended to be sufficiently specific to be meaningful, yet flexible enough to be practical.

## **DELEGATION OF AUTHORITY**

The Board of Directors of CBIC is responsible for directing and monitoring the investment management of Investment Account assets. As such, the Board of Directors is authorized to delegate certain responsibilities to professional experts in various fields. These include, but are not limited to:

1. Investment Management Consultant. The consultant may assist the Board of Directors in: establishing investment policy, objectives, and guidelines; selecting investment managers; reviewing such managers over time; measuring and evaluating investment performance; and other tasks as deemed appropriate.
2. Investment Manager. The investment manager has discretion to purchase, sell, or hold the specific securities that will be used to meet the Investment Account's investment objectives.
3. Custodian. The custodian will physically (or through agreement with a sub-custodian) maintain possession of securities owned by the Investment Account, collect dividend and interest payments, redeem maturing securities, and effect receipt and delivery following purchases and sales. The custodian may also perform regular accounting of all assets owned, purchased, or sold, as well as movement of assets into and out of the Investment Account accounts.
4. Co-Trustee. The Board of Directors may appoint an outside individual or entity, such as a bank trust department, to be co-trustee. The Co-trustee will assume fiduciary responsibility for the administration of Investment Account assets.

Additional specialists such as attorneys, auditors, actuaries, retirement plan consultants and others may be employed by the Board of Directors to assist in meeting its responsibilities and obligations to administer Investment Account assets prudently.

The Board of Directors will not exercise any control over investment decisions, with the exception of specific limitations described in these statements. Managers will be held responsible and accountable to achieve the objectives herein stated. While it is not believed that the limitations will hamper investment managers, each manager may request modifications that they deem appropriate.

If such experts employed are also deemed to be fiduciaries, they must acknowledge such in writing. All expenses for such experts must be customary and reasonable, and will be borne by the Investment Account as deemed appropriate and necessary.

## **DEFINITIONS**

1. "Investment Account" shall mean CBIC.
2. "Board of Directors" shall refer to the governing board established to administer the Investment Account. In this case, the CBIC Board of Directors has delegated authority in investments to the Budget and Finance Committee.
3. "Fiduciary" shall mean any individual or group of individuals that exercise discretionary authority or control over fund management or any authority or control over management, disposition or administration of the Investment Account assets.
4. "Investment Manager" shall mean any individual or group of individuals, employed to manage the investments of all or part of the Investment Account assets.
5. "Investment Management Consultant" shall mean any individual or organization employed to provide advisory services, including advice on investment objectives and/or asset allocation, manager search, and performance monitoring.
6. "Securities" shall refer to the marketable investment securities that are defined as acceptable in this statement.
7. "Investment Horizon" shall be the time period over which the investment objectives, as set forth in this statement, are expected to be met. The investment horizon for this Investment Account is 5-10 years.

## **ASSIGNMENT OF RESPONSIBILITY**

### **Responsibility of the Investment Manager(s)**

Each Investment Manager must acknowledge in writing its acceptance of responsibility as a fiduciary. Each Investment Manager will have full discretion to make all investment decisions

for the assets placed under its jurisdiction, while observing and operating within all policies, guidelines, constraints, and philosophies as outlined in this statement. Specific responsibilities of the Investment Manager(s) include:

1. Discretionary investment management including decisions to buy, sell, or hold individual securities, and to alter asset allocation within the guidelines established in this statement.
2. Reporting, on a timely basis, quarterly investment performance results.
3. Communicating any major changes in economic outlook investment strategy, or any other factors that affect implementation of investment process, or the investment objective progress of the Investment Account's investment management.
4. Informing the Board of Directors regarding any qualitative change to investment management organization e.g. changes in portfolio management personnel, ownership structure, investment philosophy, etc.
5. Voting proxies, if requested by the Board of Directors, on behalf of the Investment Account, and communicating such voting records to the Board of Directors on a timely basis.

### **Responsibility of the Investment Consultant(s)**

The Investment Consultant's role is that of a non-discretionary advisor to the Board of Directors of CBIC. Advice concerning the management of Investment Account assets will be offered by the Investment Consultant, and will be consistent with the investment objectives, policies, guidelines and constraints as established in this statement. Specific responsibilities of the Investment Consultant include:

1. Assisting in the development and periodic review of investment policy.
2. Conducting investment manager searches when requested by the Board of Directors.
3. Monitoring the performance of the Investment Manager(s) to provide the Board of Directors with the ability to determine the progress toward the investment objectives.
4. Communicating matters of policy, manager research, and manager performance to the Board of Directors.
5. Reviewing Investment Account investment history, historical capital markets performance and the contents of this investment policy statement to any newly appointed members of the Board of Directors.

## **GENERAL INVESTMENT PRINCIPLES**

1. Investments shall be made solely in the interest of the participants and beneficiaries of the Investment Account and for the exclusive purpose of providing benefits accrued thereunder and defraying the reasonable expenses of administration.
2. The Investment Account shall be invested with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent man acting in like capacity and familiar with such matters would use in the investment of a fund of like character and with like aims.
3. Investment of the Investment Account shall be so diversified as to minimize the risk of large losses, unless, under the circumstances, it is clearly prudent not to do so.
4. The Board of Directors may employ one or more investment managers of varying styles and philosophies to attain the Investment Account's objectives.
5. Cash is to be employed productively at all times, by investment in short term cash equivalents to provide safety, liquidity, and return.

## **INVESTMENT MANAGEMENT POLICY**

1. Preservation of Capital - Consistent with their respective investment styles and philosophies, investment managers should make reasonable efforts to preserve capital, understanding that losses may occur in individual securities.
2. Risk Aversion - Understanding that risk is present in all types of securities and investment styles, the Board of Directors recognizes that some risk is necessary to produce long-term investment results that are sufficient to meet the Investment Account's objectives. However, the investment managers are to make reasonable efforts to control risk, and will be evaluated regularly to ensure that the risk assumed is commensurate with the given investment style and objectives.
3. Adherence to Investment Discipline - Investment managers are expected to adhere to the investment management styles for which they were hired. Managers will be evaluated regularly for adherence to investment discipline.

## **INVESTMENT OBJECTIVES**

CBIC's investment strategy shall be to emphasize total return, i.e. the aggregate return from capital appreciation and dividend and interest income.

Specifically, the primary objective in the investment management for Investment Account assets shall be:

Preservation of Capital - To minimize the probability of loss of principal over the investment horizon, emphasis is placed on minimizing return volatility rather than maximizing total return.

The secondary objective in the investment management of Investment Account assets shall be:

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.

## **SPECIFIC INVESTMENT GOALS**

Over the investment horizon established in this statement, it is the goal of the aggregate Investment Account assets to exceed the rate of inflation (as measured by the Consumer Price Index) by 3%.

The investment goals above are the objectives of the aggregate Investment Account, and are not meant to be imposed on each investment account (if more than one account is used). The goal of each investment manager, over the investment horizon, shall be to:

1. Meet or exceed the market index, or blended market index, selected and agreed upon by the Board of Directors that most closely corresponds to the style of investment management.
2. Display an overall level of risk in the portfolio that is consistent with the risk associated with the benchmark specified above. Risk will be measured by the standard deviation of quarterly returns.

Specific investment goals and constraints for each investment manager, if any, shall be incorporated as part of this statement of investment policy. Each manager shall receive a written statement outlining his specific goals and constraints as they differ from those objectives of the entire Investment Account.

## **DEFINITION OF RISK**

The Board of Directors realizes that there are many ways to define risk. It believes that any person or organization involved in the process of managing CBIC's assets understands how it defines risk so that the assets are managed in a manner consistent with the Investment Account's objectives and investment strategy as designed in this statement of investment policy. The Board of Directors defines risk as the probability of losing money over a full market cycle.

## **LIQUIDITY**

To minimize the possibility of a loss occasioned by the sale of a security forced by the need to meet a required payment, the Board of Directors will periodically provide the investment management consultant with an estimate of expected net cash flow. This will allow sufficient time, if needed, to build up necessary liquid reserves.

## **MARKETABILITY OF ASSETS**

The Board of Directors requires that all of Investment Account assets be invested in liquid securities, defined as securities that can be transacted quickly and efficiently for the Investment Account, with minimal impact on market price.

## **INVESTMENT GUIDELINES**

### **Allowable Assets**

1. Cash Equivalents - Treasury Bills, Money Market Funds, STIF Funds, Commercial Paper, Banker's Acceptances, Repurchase Agreements, Certificates of Deposit.
2. Fixed Income Securities - U.S. Government and Agency Securities, Corporate Notes and Bonds, Mortgage Backed Bonds, Preferred Stock, Fixed Income Securities of Foreign Governments and Corporations, Planned Amortization Class Collateralized Mortgage Obligations (PAC CMOs) or other "early tranche" CMOs.
3. Equity Securities - Common Stocks, Convertible Notes and Bonds, Convertible Preferred Stocks, American Depository Receipts (ADRs) of Non-U.S. Companies, Stocks of Non-U.S. Companies (Ordinary Shares).
4. Mutual Funds - Mutual Funds that invest in securities as allowed in this statement.
5. Other Assets - Government Investment Certificates

### **Derivative Investments**

Derivative securities are defined as synthetic securities whose price and cash flow characteristics are based on the cash flows and price movements of other underlying securities. Most derivative securities are derived from equity or fixed income securities and are packaged in the form of options, futures, CMOs (PAC bonds, IOs, POs, residual bonds, etc.), and interest rate swaps, among others. The Board of Directors feels that many derivative securities are relatively new and therefore have not been observed over multiple economic cycles. Due to this uncertainty, the Board takes a conservative posture on derivative securities in order to maintain its risk adverse nature. Since it is anticipated that new derivative products will be created each year, it is not the intention of this document to list specific derivatives that are prohibited from investment, rather it will form a general policy on derivatives. Unless a specific type of derivative security is allowed in this document, the Investment Manager(s) may not invest Investment Account Assets in derivative investments. Mutual funds may occasionally use derivatives as hedging tools.

### **Stock Exchanges**

To ensure marketability and liquidity, investment advisors will execute equity transactions through the following exchanges: New York Stock Exchange; American Stock Exchange; and NASDAQ over-the-counter market. In the event that an Investment Manager determines that there is a benefit or a need to execute transactions in exchanges other than those listed in this

statement, written approval is required from the Board. International managers may trade on foreign exchanges.

### **Prohibited Assets**

Prohibited investments include, but are not limited to the following:

1. Commodities and Futures Contracts
2. Private Placements
3. Options
4. Limited Partnerships
5. Venture-Capital Investments
6. Real Estate Properties
7. Interest-Only (IO), Principal-Only (PO), and Residual Tranche CMOs

### **Ethical and Conflict of Interest Issues**

No direct investment shall be made in:

1. Tobacco Companies: Companies that derive significant revenue from the sale or marketing of tobacco or tobacco products.

### **Prohibited Transactions**

Prohibited transactions include, but are not limited to the following:

Short Selling  
Margin Transactions

### **Asset Allocation Guidelines**

Investment management of the assets of the Certification Board of Infection Control and Epidemiology, Inc. shall be in accordance with the following asset allocation guidelines:

1. Aggregate Investment Account Asset Allocation Guidelines (at market value)

| <u>Asset Class</u>   | <u>Minimum</u> | <u>Maximum</u> | <u>Preferred</u> |
|----------------------|----------------|----------------|------------------|
| Equities             | 55%            | 70%            | 60%              |
| Fixed Income         | 30%            | 45%            | 40%              |
| Cash and Equivalents | 0%             | 10%            | 0%               |

2. The Board of Directors may employ investment managers whose investment disciplines require investment outside the established asset allocation guidelines. However, taken as a component of the aggregate Investment Account, such disciplines must fit within the overall asset allocation guidelines established in this statement. Such investment managers will receive written direction from the Board of Directors regarding specific objectives and guidelines.

3. In the event that the above aggregate asset allocation guidelines are violated, for reasons including but not limited to market price fluctuations, the Board of Directors will instruct the Investment Manager(s) to rebalance bring the portfolio(s) into compliance with these guidelines as promptly and prudently as possible. In the event that any individual Investment Manager's portfolio is in violation with its specific guidelines, for reasons including but not limited to market price fluctuations, the Board of Directors expects that the Investment Manager will bring the portfolio into compliance with these guidelines as promptly and prudently as possible without instruction from the Board of Directors. A review of the asset allocation shall occur in January of each calendar year and a rebalancing shall be authorized to restore the asset classes to the preferred guidelines.

### **Diversification for Investment Managers**

The Board of Directors does not believe it is necessary or desirable that securities held in the Investment Account represent a cross section of the economy. However, in order to achieve a prudent level of portfolio diversification, the securities of any one company or government agency should not exceed 5% of the total fund, and no more than 20% of the total fund should be invested in any one industry. Individual treasury securities may represent 15% of the total fund, while the total allocation to treasury bonds and notes may represent up to 100% of the Investment Account's aggregate bond position.

### **Guidelines for Fixed Income Investments and Cash Equivalents**

1. Investment Account assets may be invested only in investment grade bonds rated A (or equivalent) or better.
2. Investment Account assets may be invested only in commercial paper rated A1 (or equivalent) or better.
3. Fixed income maturity restrictions are as follows:
  - Maximum maturity for any single security is 10 years.
  - Weighted average portfolio maturity may not exceed 7 years.
4. Money Market Funds selected shall contain securities whose credit rating at the absolute minimum would be rated investment grade by Standard and Poors, and/or Moody's.

### **SELECTION OF INVESTMENT MANAGERS**

The Board of Directors, selection of Investment Manager(s) must be based on prudent due diligence procedures. A qualifying investment manager must be a registered investment advisor under the Investment Advisors Act of 1940, or a bank or insurance company. The Board of Directors requires that each investment manager provide, in writing, acknowledgment of fiduciary responsibility to CBIC.

## **INVESTMENT MANAGER PERFORMANCE REVIEW AND EVALUATION**

Performance reports generated by the Investment Consultant shall be compiled at least quarterly and communicated to the Board of Directors for review. The investment performance of total portfolios, as well as asset class components, will be measured against commonly accepted performance benchmarks. Consideration shall be given to the extent to which the investment results are consistent with the investment objectives, goals, and guidelines as set forth in this statement. The Board of Directors intends to evaluate the portfolio(s) over at least a three-year period, but reserves the right to terminate a manager for any reason including the following:

1. Investment performance which is significantly less than anticipated given the discipline employed and the risk parameters established, or unacceptable justification of poor results.
2. Failure to adhere to any aspect of this statement of investment policy, including communication and reporting requirements.
3. Significant qualitative changes to the investment management organization.

Investment managers shall be reviewed regularly regarding performance, personnel, strategy, research capabilities, organizational and business matters, and other qualitative factors that may impact their ability to achieve the desired investment results.

**(1.7.4) Application Waiver Form and Waiver Review Form -**

**Conflict of Interest Form (2.16.1)**

**Item Review Participant (non-CBIC member)**

Certification Board of Infection Control (CBIC)

Participants in Item Review Sessions:

1. Maintain strict confidence regarding specific questions, answers and other information discussed or reviewed before, during or after the sessions.
2. Must not duplicate any test materials nor remove any materials from the sessions.
3. Are not eligible to endorse, assist or participate during a one (1) year period following the date they serve in an Item Review Session in any educational endeavor that has as its primary purpose the preparation of individuals taking the CIC certification examination.
4. Shall request when participation in general infection control educational programs that:
  - a. Advertisement for such programs not include reference that the participant was involved in an Item Review Session.
  - b. There is no reference to Item Review participation in their introduction.

I, the undersigned, have read, understand and agree to abide by the CBIC Conflict of Interest Policy as stated above.

---

Signature \_\_\_\_\_ Date \_\_\_\_\_

Witness:

---

Chairman, CBIC Test Committee \_\_\_\_\_ Date \_\_\_\_\_

## Application Waiver Sample Response Letter

Date

Dear Infection Control Practitioner:

Thank you for contacting us about the eligibility criteria for the certification examination in infection control. The current eligibility requirements include both a practice criterion and an educational criterion, specifically as stated in the candidate handbook:

Practice requirement: All initial candidates must have practiced infection control for a minimum of two years with a minimum of 800 hours worked prior to the date of the examination. Practice requirements must be met for original certification only. (See the current candidate handbook for more information on meeting the practice requirement.)

Education requirement: Currently certified individuals are automatically eligible to take the examination for recertification. First-time candidates, candidates who have not successfully passed the examination, and lapsed certificants must meet “A” or “B:”

- A. Have a current license or registration/certification as a medical technologist, physician, Or registered nurse
- Or*
- B. Have a minimum of a baccalaureate degree.

There are no exceptions to the practice requirement; however, there is a process to apply for a waiver of the education requirement. This packet includes the instructions for applying for a waiver of the education requirement as well as a candidate handbook for your reference.

Thank you for your interest in the Certified in Infection Control (CIC<sup>®</sup>) credential. If we can provide any further information, please contact us.

Sincerely,

Test Committee Chairperson

Enclosures

Certification Board of Infection Control and Epidemiology, Inc.  
Eligibility Waiver Application

**Description**

This packet contains the forms and instructions necessary to apply for a waiver of the educational eligibility criterion for the CIC<sup>®</sup> examination. Please review it carefully and contact our office if you have any questions about completing the process. The board may audit any application. Applications for audit are selected randomly for verification. Submission of false information by the applicant may result in application denial or revocation of certification.

**Practice requirement (Form A)**

In order to complete Form A, your employer/supervisor must verify that you have practiced infection control for a minimum of two years with a minimum of 800 hours worked before the date of the examination. You may submit multiple copies of Form A if you will need more than one supervisor to verify your practice experience. If you are self-employed as a consultant, use one form for each client necessary to achieve the required 800 hours. Refer to the enclosed instructions for specific information to provide as a self-employed consultant.

**Basic infection control skills training (Form B)**

To complete Form B, you must document completion at least 30 hours of continuing education in one or more courses designed to provide fundamental skills in infection control and applied epidemiology. The course or combination of courses must have been completed within the last five years and have addressed at least three of the five core topic areas:

1. identification of infectious disease processes
2. surveillance and epidemiologic investigation
3. preventing and controlling transmission of infectious agents
4. program management and communication
5. education and research
6. infection control aspects of employee health

These core topic areas are defined by the 2001 Practice analysis of infection control practice conducted by CBIC. The Practice analysis is a scientifically designed survey of a statistically representative sample of infection control professionals addressing current infection control practice in the US and Canada.

**Payment** There is a processing charge of \$30 (US) for waiver application review, payable to Certification Board of Infection Control and Epidemiology, Inc. (CBIC)

**Application process**

Please submit the following to our office:

- λ Application page
- λ Form A (multiple copies if necessary)
- λ Form B with attachments
- λ Your payment

Refer to the enclosed instructions for specific information.

**Application deadlines**

Waiver application deadlines are approximately two months prior to the date of the examination.

Specific dates are published by CBIC each year in the candidate handbook.

**Response**

You will be sent a decision on your application by mail within three to four weeks of our receipt of the application. If your application is approved, you will receive a waiver approval document. After receipt of the waiver approval document, you will need to submit an application for the examination and fee to the Testing Company as described in the candidate handbook. You will be responsible for meeting all published application deadlines.

**Questions?**

Call the CBIC office at (913) 599-4174 or fax (913) 599-5340 or write to: CBIC, PO Box 19554, Lenexa, KS 66285-9554.

Certification Board of Infection Control and Epidemiology, Inc.  
Eligibility Waiver Application

**Instructions**

Please read all instructions carefully before completing the forms. Be sure your application is complete before you send it; incomplete applications will not be processed.

1. Send forms with original signatures. We encourage you to send photocopies of your continuing education certificates because they will not be returned. **Keep a copy of your entire application as submitted.**
2. **Form A:** Practice requirement. Have your employer or supervisor complete this form and return it to you. Use as many forms as you need to document a minimum two years and 800 hours of practice before the examination date. If you do not have an immediate supervisor who can verify experience, you may have the next higher level of management at your organization complete the form. Be sure that each person completing the forms checks all appropriate boxes. On the form, your supervisor is asked to verify that your practice has included at least five of the seven components identified in the definition of infection control practice in the candidate handbook (and listed on Form A).

If you are self-employed as a consultant, ask a supervisor from each client to complete the form. A single form for each client must be submitted in order to document the minimum 800 hours in two years. Submit the following documentation with Form A:

- Names of each client
  - Complete address of each client
  - Dates of service for each client
  - Required practice elements/areas of consultation for each client
  - Number of hours of service for each client
4. **Form B:** Basic infection control skills training documentation. Complete the form, attaching certificates of completion and program outlines for a minimum of 30 hours of continuing education from one or more course (see form for specifics). Your course(s) must have addressed at least three of the five core practice areas listed on the form.
  5. **Application page:** Complete the application page and mail it with Form A, Form B with attachments, and payment to: CBIC PO Box 19554      Lenexa, KS 66285-9554



Certification Board of Infection Control and Epidemiology, Inc.  
Eligibility Waiver Application

**Form B**

*Instructions to applicant:*

*Attach attendance certificate(s) to verify completion of a minimum of 30 hours of continuing education credit for one or more courses designed to train individuals beginning in the practice and provide fundamental skills in infection control and applied epidemiology.*

*These course(s) must have been completed within the last five years as documented by the date on the certificate(s).*

*Also attach a program outline for each course, and highlight on the program outline the content, which addresses three of the five core practice areas listed below.*

*One course may address more than one topic area.*

| Check ( ✓ ) applicable boxes (3 of 6) | Core topic areas   |
|---------------------------------------|--|
| 1                                     | Identification of infectious disease processes                   |
| 2                                     | Surveillance and epidemiologic investigation                     |
| 3                                     | Education and Research   |
| 4                                     | Preventing and controlling the transmission of infectious agents |
| 5                                     | Program management and communication                             |
| 6                                     | Infection Control Aspects of Employee Health                     |

\_\_\_\_\_  
Applicant's Name (please print)

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Date

Certification Board of Infection Control and Epidemiology, Inc.  
Eligibility Waiver Application

**Application Form**

\_\_\_\_\_  
Applicant's Name (please print)

\_\_\_\_\_  
Daytime telephone number

\_\_\_\_\_  
Mailing Address (street)

\_\_\_\_\_  
(City, State or Province, Zip or Postal Code)

**I hereby verify that the information I have presented in this application is accurate.**

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Date

**Indicate form of payment (3)**

\_\_\_\_\_ My check for \$30 (USD) payable to CBIC is enclosed.

\_\_\_\_\_ Please charge my credit card, as indicated (3) below, for \$30 (USD).

\_\_\_\_\_ VISA number: \_\_\_\_\_ Expiration Date: \_\_\_\_\_

\_\_\_\_\_ MasterCard number: \_\_\_\_\_ Expiration Date: \_\_\_\_\_

\_\_\_\_\_  
Signature (if paying by credit card)

\_\_\_\_\_  
(Date signed)

**Final checklist -- complete and enclose the following**

- Application Form
- Form A
- Form B
- Form of payment, as indicated above
- *Keep a copy of your submitted application with all documentation--before mailing*

**Mail to:**

CBIC  
PO Box 19554  
Lenexa, KS 66285-9554

Certification Board of Infection Control and Epidemiology, Inc.  
Eligibility Waiver Application  
**Review Checklist**

Applicant name: \_\_\_\_\_

**Form A**

1. The applicant's name is inserted on the form \_\_\_\_\_
  
2. Time period: On one or more copies of Form A, a supervisor(s) has indicated a total of 2 years & 800 hours of experience. \_\_\_\_\_
  
3. Required practice elements: Both boxes have been checked on all copies of Form A submitted. \_\_\_\_\_
  
4. Additional practice elements: At least three boxes have been checked on all copies of Form A submitted. \_\_\_\_\_
  
5. Each copy of Form A submitted has been signed by the supervisor. \_\_\_\_\_

**Form B**

6. At least three boxes have been checked on the form. \_\_\_\_\_
  
7. Complete the attached chart to indicate whether the continuing education information provided meets the criteria. Does the completed chart reflect a minimum of 30 hours within the past five years with content highlighted on program outlines documenting that content addressed the core topic areas? \_\_\_\_\_
  
8. Has the applicant signed the form? \_\_\_\_\_

**Application form**

9. Has the applicant signed the form? \_\_\_\_\_
  
10. Has the applicant paid the \$30 fee? \_\_\_\_\_

**Comments**

**Summary**

11. Based on staff review, it appears that the applicant meets the criteria for an educational waiver. \_\_\_\_\_

Based on staff review, it appears that the applicant does not meet the criteria for an educational waiver. \_\_\_\_\_

Staff member: \_\_\_\_\_

Date: \_\_\_\_\_

**Review coordinator's decision**

\_\_\_\_\_ Yes, I approve an educational waiver for this applicant.

\_\_\_\_\_ No, I do not approve an educational waiver for this applicant.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## Continuing Education Evaluation for Eligibility Waiver Application

*Instructions: Complete this form to identify whether the applicant has a minimum of 30 credit hours within the past five years that address three of the five core topic areas.*

*Abbreviate core topic areas as follows:*

ID = Identification of Infectious Disease Process

SI = Surveillance and Epidemiologic Investigation

ED = Education and Research

PC = Preventing and Controlling the Transmission of Infections Agents

MC = Program Management and Communication

EH = Infection Control Aspects of Employee Health

| Program name | # credit hours | Date | Core topic areas             |
|--------------|----------------|------|------------------------------|
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
|              |                |      |                              |
| Summary      | Total =        |      | At least 3 different topics? |

**(4.5.3.1) Certification Board of Infection Control and Epidemiology, Inc.**

**Board of Directors**  
**Conflict of Interest Form**

1. During their term of office and for one (1) year after leaving the Board, the CBIC Board members are not permitted to endorse, assist or participate in any educational endeavor which has as its primary purpose the preparation of individuals for passing a certification examination.
2. Any possible conflict of interest on the part of any board member shall be disclosed to other members of the board and recorded in the minutes.
3. Any board member having duality of interest or possible conflict of interest on any matter shall not vote on the matter. The minutes of the meeting shall reflect that a disclosure was made, and the abstention from voting occurred.
4. All new Board members are advised of this policy upon entering office.
5. This policy shall not be construed as preventing Board members from briefly stating a personal position in any matter, or from answering pertinent questions by other Board members, since the personal knowledge of a Board member may be of great assistance.
6. Current Board members who participate in educational programs must request (a) that advertisement and printed materials for such programs not include reference to the fact that the participant is a Board member of the Certification Board of Infection Control and Epidemiology, Inc., and (b) that there be no reference to their membership on CBIC Board before, during or after the program.

I agree to abide by the above CBIC  
Conflict of Interest Policy

\_\_\_\_\_  
(Signed)

\_\_\_\_\_  
(Date)

**Attachment to Conflict of Interest Form-Sample Letter**

TO: Program Planners

FROM: CBIC Board of Directors

SUBJECT: Publicity for Program and Introduction of Participants

As a member of the Certification Board of Infection Control and Epidemiology (CBIC) it is important for you to know the following:

1. To protect the security and fairness of the CBIC Infection Control Certification Examination present and past CBIC board members cannot endorse, assist or participate in any educational endeavor, which has as its primary purpose the preparation of individuals to take the certification exam. This agreement lasts for one (1) year after completion of the CBIC terms. Consequently, if I participate in your program the program cannot be publicized as preparing persons to take the certification examination.
2. Introduction of program speakers includes various pieces of information about their backgrounds. I ask that you not include in my introduction any mention of my membership on the CBIC board. This is due to the possibility that program participant might construe my presentation as inside information about the nature or content of the certification examination.

If you agree to the above conditions, I will be pleased to participate in your infection control-related educational activity.

(6.4.1)

**Application Verification Audit Form**

Candidate name: \_\_\_\_\_

CBIC president: \_\_\_\_\_

Date of inquiry: \_\_\_\_\_

Person making inquiry: \_\_\_\_\_

Type of patient care setting in which infection control is carried out:

Please check:

Acute hospital setting

Long term care/ intermediate care facility

Specialty hospital (please specify) \_\_\_\_\_

Psychiatric hospital

Clinic/ Ambulatory care setting

Other (specify) \_\_\_\_\_

Activities performed: Please circle:

1. Analyzed and interpreted collected infection control data \_\_\_\_\_ times.
2. Investigated suspected outbreak of infection(s) \_\_\_\_\_ times.
3. Planned, implemented, and evaluated infection prevention and control measures.
4. Educated individuals about infection risk, prevention and control.
5. Developed and revised infection control policies and procedures.
6. Managed infection prevention and control activities.
7. Provided consultation of infection risk assessment, prevention, and control strategies.

APPROVED \_\_\_\_\_ DISAPPROVED \_\_\_\_\_

COMMENTS:

**Certification Board of Infection Control and Epidemiology, Inc.**

**Certification Awards**

**CBIC Certification Award**

**Purpose:** The CBIC Certification Award is granted to an APIC and CHICA Chapter that promotes certification among its infection control professionals.

**Award:** \$200

**Selection Criteria:** Chapters are not only scored on the number of eligible certified members within the chapter, but also on chapter promotional activities.

Percentage of eligible certified members (25%)

Improvement over previous year of certified members (20%)

Chapter promotional activities (25%)

Community/State promotional activities (25%)

Professional appearance/presentation (5%)

**Sponsored by:**

**Application Deadline:** April 1

## CBIC Certification Award Scoring Sheet

Date: \_\_\_\_\_

Chapter Name and Number: \_\_\_\_\_

( ) APIC      ( ) CHICA

| Criteria   | Eligible Points | Chapter's Score |
|--|-----------------|-----------------|
| <b>Percentage of eligible certified members (0-25pts)</b><br><b>Choose highest level attained:</b> |                 |                 |
| At least 35-49% of its eligible members certified?   | 5 points        |                 |
| At least 50-74 % of its eligible members certified?  | 15 points       |                 |
| At least 75-100% of its eligible members certified?  | 20 points       |                 |
|  |                 |                 |
| Chapter with the highest percentage of eligible members certified?                                 | 10 points       |                 |
|  |                 |                 |
| <b>Chapter Promotional Activities (0-25pts)</b>  |                 |                 |
| 5 points for any activity or project. Up to 25 points can be awarded.                              | 25              |                 |
|  |                 |                 |
| <b>Community/State Promotional Activities (0-25pts)</b>  |                 |                 |
| 5 points for any activity or project. Up to 25 points can be awarded.                              | 25              |                 |
|  |                 |                 |
| <b>Professional Appearance/Presentation (0-20pts)</b>  |                 |                 |
| Is the application easy to understand and professional in nature?                                  | 20              |                 |
| <b>Total score for Chapter (0-120pts)</b>  |                 |                 |

## **CERTIFICATION BOARD OF INFECTION CONTROL AND EPIDEMIOLOGY, INC. CBIC ACHIEVEMENT AWARD**

The CBIC Board of Directors invites you to consider nominating an outstanding colleague for the CBIC Achievement Award. This colleague should be an individual who actively promotes certification among her/his fellow infection prevention and control professionals and has demonstrated a commitment to certification by promoting CBIC's mission, vision, values, and goals contained within our handbook.

The CBIC Achievement Award will be presented at the APIC Annual Conference and International Meeting during the opening ceremony. The honoree will be presented with a commemorative award and a waiver of all fees associated with applying for the certification examination for one five year term of re-certification. The CBIC Achievement Award will be presented to a candidate who meets the following criteria:

**A. The candidate must be:**

1. A recognized professional in the field of infection prevention/control and epidemiology.
2. A certified individual (CIC®) for the year of nomination as well as the year of the award.
3. A professional who promotes and advances the goals of CBIC.

**B. The candidate must satisfy several criteria including the following:**

1. Demonstration of the ideals of a certified professional, including a demonstrated mastery of knowledge of infection prevention/control and epidemiology.
2. Evidence of contributions to the field of infection prevention and control, *i.e.*, publications, presentations, & community involvement.
3. Demonstration of competency in infection prevention/control and epidemiology and a vision for the future of the practice.

**C. Current elected officers of the CBIC Board of Directors (President, President-elect, immediate past President, Secretary, and Treasurer) will not be eligible for award nomination during their term of service.**

The CBIC Board of Directors will be responsible for the review of candidates and will present the recommended finalist to the CBIC Administrative Committee for approval.

### **INSTRUCTIONS**

The application for the CBIC Achievement Award will consist of the following:

1. Completion of the form below.
2. The candidate's curriculum vitae that includes publications, local, regional and national professional activities (offices held, committee memberships, presentations), special recognition for infection control activities, and community activities and involvement.
3. The nominator's written assessment of the candidate in the areas of practice, service, and leadership in infection prevention/control and epidemiology.
4. One professional reference. This reference must include name, title, address, phone number and email address, if available.
5. If the candidate has served at the national level for APIC, CHICA, SHEA, ASM, IFIC, or CBIC, please indicate the committee or similar assignment as well as a key individual with whom the candidate served in this capacity. Please complete the form below and attach the candidate's curriculum vitae along with supporting information. Upon receipt of the application, the professional reference will be contacted by the CBIC President or designee for validation purposes.

**CBIC ACHIEVEMENT AWARD APPLICATION**

**CANDIDATE'S INFORMATION:**

CANDIDATE'S FULL NAME:

\_\_\_\_\_

COMPANY:

\_\_\_\_\_

ADDRESS:

\_\_\_\_\_

CITY: \_\_\_\_\_ PROVINCE: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

COUNTRY: \_\_\_\_\_

BUSINESS PHONE: \_\_\_\_\_ HOME PHONE: \_\_\_\_\_

E-MAIL: \_\_\_\_\_

CERTIFICATION VALID THROUGH: \_\_\_\_ / \_\_\_\_ /

CURRENT PROFESSIONAL POSITION:

\_\_\_\_\_

**NOMINATOR'S INFORMATION:**

NAME AND PROFESSIONAL POSITION OF PERSON SUBMITTING NOMINATION:

\_\_\_\_\_

ADDRESS:

\_\_\_\_\_

CITY: \_\_\_\_\_ PROVINCE: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

COUNTRY: \_\_\_\_\_

BUSINESS PHONE: \_\_\_\_\_ HOME PHONE: \_\_\_\_\_

EMAIL ADDRESS: \_\_\_\_\_

**Mail Completed form to:  
CBIC ACHIEVEMENT AWARD  
PO Box 19554; Lenexa, KS 66285-9554  
(913) 599-4174 Fax: (913) 599-5340  
Email: [CBIC-INFO@goAMP.com](mailto:CBIC-INFO@goAMP.com)**



**Position Description for:**

**Executive Director**

***Employee:***

**A. Key Objectives:**

- Advance the mission of the organization by successfully managing day-to-day operations and providing counsel to the Board of Directors on strategic issues.
- Identify opportunities to expand the number of CIC certificants.

**B. Duties:**

- Provide day-to-day management and leadership to staff supporting CBIC.
- Assure that operations are carried out in an effective, timely, and cost-efficient manner.
  - i. Provide statistics on various data as requested by President
  - ii. Assist with logistics of Practice analysis when requested
  - iii. Adhere to NOCA accreditation requirements when conducting business for CBIC
  - iv. Assist in the preparation of CBIC booth displays at APIC and CHICA conferences
  - v. Participate in the staffing of CBIC booth displays at APIC national conference and coordinate staffing to assure adequate coverage
  - vi. Coordinate Board of Directors and Test Committee meeting locations, proper accommodations and meals and travel detail for members
  - vii. Process expense reports according to Board protocol within 30 days of receipt for travel and work-related expenses for Board members involved in CBIC business.
- Provide leadership to CBIC Board of Directors, including developing the agenda in collaboration with the President; preparing meeting materials; preparing minutes and action lists and carrying out directives of the Board of Directors within the scope of the management agreement with Applied Measurement Professionals.
- Develop and monitor CBIC budget in conjunction with CBIC Board.
- Develop a minimum of one issue of CBIC News per year.
- Develop and maintain brochures, flyers, etc., directed toward marketing the infection control certification and the certification examination.
- Provide regular updates on program progress.
- Participate in marketing and strategic planning to identify potential areas for growth and development.

**C. Supervisory and Collaborative Relationships:**

- Supervise CBIC Assistant in carrying out administrative duties, including providing correspondence with candidates, per Board protocols, SARE and certificate processing.
- Work with appropriate staff and volunteers to provide services in the following areas: finance, database management, list generation, web site maintenance, production of CBIC News and flyers, stationery and envelopes; fulfillment and meeting planning.

#### **D. Skills and Training Requirements:**

Education/training and experience required: Five years' experience in association management, in a senior management position. Bachelor's degree. Direct management experience in marketing, publications, membership.

Skills required: Competence in management, supervision, planning, project management, marketing; excellent communications skills; organized; able to multi-task; successful experience in collaborating with volunteers to achieve the organization's mission.

Qualities required: Maturity, integrity, flexibility, tactfulness, creativity, and a high degree of self-motivation; excellent interpersonal capabilities.

---

Last revision: April 2004  
Revised by: Sheila O'Neal

This position description does not constitute a contract of employment but provides a basis for the periodic evaluation of your work and for determining the salary classification for the job. This position description provides an outline of the major tasks to be performed but not each detail or assignment, nor the limits of what can be required of you. Supervisors may assign additional tasks or change the duties assigned to you.

**APPLICATION FOR CONSUMER DIRECTOR**  
**CERTIFICATION BOARD OF INFECTION CONTROL AND EPIDEMIOLOGY, INC.**

**Purpose of Position:** (a) To represent the interests of the public and healthcare users relative to the certification of professionals in infection control and epidemiology.  
(b) To bring specific skills, outside those of medical expertise, that contribute value to the Board and operations in meeting its mission.

**Qualifications:** (1) Will not be practicing in the field of infection control and epidemiology or be engaged in a related profession, business or relationship with a professional in infection control and epidemiology, which may present a conflict of interest.  
(2) Annually completes the Public Member Declaration, required by National Commission of Certifying Agencies (NCCA) to verify lack of this conflict of interest (see attachment, please).  
(3) Diverse experience and expertise is most important in representing the consumer component on the CBIC, and may be met via various backgrounds, i.e., one in human resources, finance, business, environmental / energy management, engineering, information systems, etc.

**Responsibilities:** (1) Attends board meetings.  
(2) Functions as a voting Board member with Board privileges and responsibilities.  
(3) Serves on the Judicial Ethics Committee and other committees/workgroups as assigned by the President.  
(4) Ensures, to the extent possible, that mission, goals, objectives, and activities of the Board are aligned with interests of healthcare consumers.  
(5) Brings diverse experience and expertise to the board.  
(6) Assists the board in promoting the value of the certification process to candidates and healthcare providers as deemed appropriate by the Board.

**Membership Term:** The term of membership is two years, with potential for reappointment for a second two-year term. Three board meetings are scheduled annually, which may require travel and meetings for up to three days.

**Application Process:** Complete the attached form and submit to Certification Board for Infection Control and Epidemiology, Inc. PO Box 19554 Lenexa, KS 66285-9554, Attn: Executive Director.  
Deadline for receipt of the application: July 1.

The application includes a Philosophy Statement, in which you may include any of the following suggestions: (1) an interpretation/understanding of the role of the consumer director as unbiased representation of the consumer and how applicant could fill this niche; (2) background experience, which could provide input relative to impact on consumers in healthcare; and (3) the ability to objectively compare consumer perceptions with CBIC mission, vision, and board intent.

CBIC statements of mission and vision can be viewed at our website, [www.cbic.org](http://www.cbic.org), along with other information about CBIC.

**CBIC CANDIDATE APPLICATION - CONSUMER DIRECTOR**

Please utilize as much space as needed to complete this form.

**FULL NAME:**

**CURRENT TITLE:**

**WORK ADDRESS:**

**WORK PHONE:**

**WORK FAX:**

**HOME ADDRESS:**

**HOME PHONE:**

**PREFERRED E-MAIL ADDRESS:**

**DESCRIPTION OF CURRENT POSITION, FORMER POSITIONS AND OTHER RELEVANT EXPERIENCE:**

**EDUCATION:**

**PHILOSOPHY STATEMENT:**

**PROCEDURE FOR APPLICATION FOR CONSUMER DIRECTOR  
CERTIFICATION BOARD OF INFECTION CONTROL AND EPIDEMIOLOGY, INC.**

**Purpose of Position:** to represent the interests of consumers in healthcare relative to the certification of professionals in infection control and epidemiology.

Qualifications: (1) will NOT be practicing in the field of infection control and epidemiology or be engaged in a related profession or relationship with a professional in infection control and epidemiology which may present a conflict of interest, (2) annually will complete the Public Member Declaration, required by National Commission of Certifying Agencies (NCCA) to verify lack of this conflict of interest (see attachment, please).

Diverse experience and expertise is most important in representing the consumer component on the CBIC and may be met via various backgrounds, i.e., one in human resources, finance, business, environmental/energy management, engineering and information systems, etc.

**Responsibilities:** (1) attends board meetings, (2) functions as a voting public member with board privileges and responsibilities, (3) serves on the judicial ethics committee and other committees/workgroups as assigned, (4) ensures to the extent possible, that mission, goals, objectives, and activities of the board are aligned with interests of healthcare consumers, (5) brings diverse experience and expertise to the board, and (6) assists the board in promoting the value of the certification process to candidates and healthcare providers as deemed appropriate by the board.

The term of membership is two years, with potential for reappointment for a second two-year term. Three board meetings are scheduled annually, which may require traveling for up to three days.

***Application Process:*** Complete attached form and submit to CBIC Management offices at 1275 K Street, NW, Suite 1000, Washington, DC 20005. Deadline for receipt of the application: July 1

The application includes a Philosophy Statement, which may include any of the following suggestions: (1) an interpretation/understanding of the role of the consumer director as unbiased representation of the consumer and how applicant could fill this niche, (2) background experience which could provide input relative to impact on consumers in healthcare and (3) the ability to objectively compare consumer perceptions with CBIC mission, vision, and board intent.

CBIC statements of mission and vision can be viewed at our website, [www.cbic.org](http://www.cbic.org), along with other information on CBIC itself.

On behalf of CBIC, thank you for your time, efforts, and consideration in completing this application.



| <b>CBIC Management Services Performance Evaluation of AMP</b>  |  |  |  |  |                         |                          |                                   |             |                 |
|--|--|--|--|--|-------------------------|--------------------------|-----------------------------------|-------------|-----------------|
| <b>Time Period:</b>  |  |  |  |  |                         |                          |                                   |             |                 |
| <b>Instructions:</b> Please rate our Management Company in areas in which you have personal knowledge only; mark 'N/A' in other areas.                           |  |  |  |  | <b>Outstandi<br/>ng</b> | <b>Satisfact<br/>ory</b> | <b>Needs<br/>Improve<br/>ment</b> | <b>Poor</b> | <b>Comments</b> |
| <b>Strategic Priority #1: To develop and maintain an accredited certification process which includes initial and re-certifying examinations.</b>                 |  |  |  |  | <b>Weg<br/>ht</b>       |                          |                                   |             |                 |
| Provide database management.   |  |  |  |  | 1                       |                          |                                   |             |                 |
| Provide meeting planning for 2 Test Committee meetings per year.   |  |  |  |  | 2                       |                          |                                   |             |                 |
| Provide assistance in maintaining NCCA accreditation.  |  |  |  |  | 1                       |                          |                                   |             |                 |
| Process certification Certificates within two weeks of receipt of test scores.   |  |  |  |  | 3                       |                          |                                   |             |                 |
| Provide CE Certificates following SARE processing.   |  |  |  |  | 2                       |                          |                                   |             |                 |
| <b>Strategic Priority #2: Increase the number of candidates who take the examination and re-examination.</b>   |  |  |  |  |                         |                          |                                   |             |                 |
| Provide excellent customer service as measured by customer complaints and feedback.  |  |  |  |  | 2                       |                          |                                   |             |                 |
| Successfully implement assigned aspects of the CBIC marketing plan.  |  |  |  |  | 1                       |                          |                                   |             |                 |
| Develop and circulate to constituents a minimum of two CBIC newsletter annually.   |  |  |  |  | 2                       |                          |                                   |             |                 |
| Assure that CBIC Website is updated on a timely basis.   |  |  |  |  | 2                       |                          |                                   |             |                 |
| Synchronize APIC and CBIC databases at least twice yearly.   |  |  |  |  | 1                       |                          |                                   |             |                 |
| Process applications for and distribute SARE products to certificants throughout year in timely manner.  |  |  |  |  | 1                       |                          |                                   |             |                 |
| Organize/support CBIC displays at APIC, CHICA-CA, SHEA & IFIC Educational Conferences.   |  |  |  |  | 3                       |                          |                                   |             |                 |
| Maintain approval of CE for SARE.  |  |  |  |  | 1                       |                          |                                   |             |                 |
| <b>Strategic Priority #3: Influence regulatory agencies, legislators, professional groups, and others to recognize the value of certification.</b>               |  |  |  |  |                         |                          |                                   |             |                 |
| Support outreach to form liaisons and build coalitions with organizations whose focus includes Infection Control with special attention to international market. |  |  |  |  | 3                       |                          |                                   |             |                 |
| <b>Strategic Priority #4: Maintain fiscal accountability and responsibility.</b>   |  |  |  |  |                         |                          |                                   |             |                 |

|  |   |  |  |  |  |  |
|--|---|--|--|--|--|--|
| Provide monthly financial reports, including quarterly investment analysis to the Board.                       | 2 |  |  |  |  |  |
| Provide timely processing (within 30 days) of board expenses following meetings, travel, etc. (11) <b>4</b>    | 3 |  |  |  |  |  |
| Facilitate annual audit.   | 3 |  |  |  |  |  |
| Timely alerts for critical variances.  | 2 |  |  |  |  |  |
| Receives & deposits & pays timely & accordingly.   | 1 |  |  |  |  |  |
| <b>Strategic Priority #5: Recruit and develop a qualified Board of Directors.</b>                              |   |  |  |  |  |  |
| Assist in communication with APIC regarding process and procedure of applicants and re-applying Board members. | 2 |  |  |  |  |  |
| Assist in orientation of new Board members.  | 3 |  |  |  |  |  |
| Assist in Board growth/Self-Evaluation process.  | 3 |  |  |  |  |  |
| <b>Applies to All Strategic Priorities</b>   |   |  |  |  |  |  |
| Submit a monthly report to the Board on office activities.   | 3 |  |  |  |  |  |
| Provide meeting planning for 3 Board meetings per year.  | 2 |  |  |  |  |  |
| Provide archiving and basic record-keeping.  | 1 |  |  |  |  |  |
| Comments:  |   |  |  |  |  |  |
| Agenda and reports prior to meeting. Call  |   |  |  |  |  |  |
| for agenda items and committee reports one month prior to meeting.   |   |  |  |  |  |  |
| Establish  |   |  |  |  |  |  |
| what Board needs to see <b>before</b> meeting and what can be brought to the meeting.                          |   |  |  |  |  |  |
| Weights: 1=mission critical; 2=important; 3=necessary  |   |  |  |  |  |  |

