



New York Certification Association Ethical Complaint Process & Form

Introduction

The New York Certification Association (NYCA) is dedicated to the principle that health and human services professionals must demonstrate the highest standards of ethical conduct and professional practice. To that end, the NYCA has adopted a Code of Ethical and Professional Conduct. Agreement to follow the Code of Ethical and Professional Conduct is a requirement of certification. The NYCA is committed to investigate and sanction those certified professionals who violate the Code. The most recent version of the NYCA Code of Ethical and Professional Conduct and Disciplinary Procedures are maintained and available for download at <http://www.nycertification.org/resources.php>.

Filing a Complaint

1. The NYCA does not accept anonymous complaints.
2. The “complainant” is the person filing the complaint. The “respondent” is the person the complaint is against.
3. Complaints must be submitted in writing using this form and under these guidelines:
 - a. Complete all requested fields of information and provide/attach a thorough description of the conduct that serves as the basis of your complaint to include the date(s) of the alleged conduct and other facts pertinent to the complaint, such as who, what, where, when, etc. If you have supporting documentation, please attach it to this form.
 - b. **Please be aware that you must maintain client confidentiality when filing a complaint. The NYCA provides a “Release of Information” on our website at <http://www.nycertification.org/resources.php>. This form must be completed by the person(s) who are involved in the complaint yet are also protected under HIPAA or other confidentiality laws. Otherwise, redact identifying information in submitted documentation.**
4. Complaints may be mailed, emailed, or faxed to the NYCA as follows:

Mail:
New York Certification Association
Attn: Director of Certification – Confidential
1732 First Avenue #22875
New York, NY 10128

Email: afarrington@nycertification.org
Subject Line: Ethics Complaint – Confidential
Fax: 850-222-6247
Attn: Director of Certification – Confidential

Complaint Receipt and Review and Notice of Outcome

Please read the full Disciplinary Procedures section of the NYCA Code of Ethical and Professional Conduct for details regarding the Investigation Process. In short, the complainant can expect to receive a written notice, within 2 weeks of receipt of the complaint, of the NYCA’s decision to open an investigation or dismiss the complaint. At the conclusion of the investigation and hearing, the complainant will be provided with the outcome of the investigation, including sanctions, if any. With the exception of any interview of the complainant by the NYCA Ethics Investigator, or as otherwise provided in the Disciplinary Procedures, all information, notes, reports, transcripts, and any documentation of any kind generated or received during the course of an ethics investigation and/or disciplinary proceedings, including the ethics committee meetings and appeal hearings, shall be kept confidential by the NYCA.



New York Certification Association Ethical Complaint Form

This form is to be used when filing a complaint against an applicant or certified professional for violating the NYCA Code of Ethical and Professional Conduct. Please fill out the form completely and attach any supporting documentation. Submit the completed form and supporting documentation as described on the prior page.

Complainant Contact Information

Name: _____

Primary Email Address: _____

Primary Phone Number: _____

Preferred Mailing Address: _____

City/State/Zip code: _____

Respondent Contact Information

Name: _____

Credential(s) Held: _____

Respondents Employer: _____

Employer's Phone Number: _____

Respondents Mailing Address: _____ Work Home

City/State/Zip code: _____

Complaint Details

1. Did you:

- Observe the conduct first hand.
- Hear about the conduct from others.
- Other (please describe how you became aware of the conduct):

2. Has another authority been notified of this allegation? Yes Who:

3. Please provide a thorough description of the conduct that serves as the basis of your complaint to include the date(s) of the alleged conduct and other facts pertinent to the complaint, such as who, what, where, when, etc. If you have supporting documentation, please attach it to this form.

If you are completing this form electronically, the "space" will expand to accept your typing.

If you are completing this form manually, please attach additional pages if necessary.

4. Are you/have you attached additional documentation? Yes No
5. If "yes" to question #4, does the documentation contain confidential information protected by HIPAA or other confidentiality law? Yes No
6. If "yes" to question #5, have you attached a Release of Information form or Redacted confidential, identifying information?

Other Individuals to Contact Provide the name and contact information of any other person who may have information relevant to the complaint. The NYCA will contact these persons as part of the investigation. Please attach additional pages if necessary.

Name: _____

Primary Email Address: _____

Primary Phone Number: _____

Name: _____

Primary Email Address: _____

Primary Phone Number: _____

Thank you for submitting this complaint. The NYCA's mission of public safety relies in large part on individuals to report allegations of ethical and professional misconduct. Your complaint will be treated with the utmost confidentiality. You will receive a written notice of our decision to accept or dismiss the complaint within no more than two weeks of receipt of your complaint. If you have any questions, please do not hesitate to contact our offices at 855-675-5634 and ask to speak with the NYCA's Ethics Investigator or the Director of Certification.