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# CAPP Certification Program

## **DISCIPLINARY RULES & PROCEDURES**

Presented by the  
CAPP Certification Board  
of the International Parking Institute



1330 Braddock Place, Suite 350, Alexandria, VA 22314

571.699.3011 Phone | 703.566.2267 Fax

[capp@parking.org](mailto:capp@parking.org) | [parking.org/capp](http://parking.org/capp)

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## Communications

Please direct all communications in writing to:

**Mailing Address:**       **International Parking Institute**  
ATTN: CAPP Certification Program  
1330 Braddock Place, Suite 350  
Alexandria, VA 22314

**Office Phone:**           571.699.3011

**Office Fax:**               703.566.2267

**Web Address:**           parking.org/capp

**Email Address:**         capp@parking.org

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## Introduction

The CAPP Certification Board has adopted a Code of Ethics and Professional Responsibility (*Code of Ethics*) which establishes the expected level of professional conduct and practice for CAPP designees. The CAPP Certification Board retains the right to amend the Code of Ethics as required.

To promote and maintain the integrity of its CAPP certification for the benefit of credential holders and stakeholders, the CAPP Certification Board has the ability to enforce the provisions of the Code of Ethics. The CAPP Certification Board shall be required to enforce sanctions against CAPPs who violate the regulations as written in the Code of Ethics. The CAPP Certification Board will follow the disciplinary rules and procedures set forth below when enforcing the Code of Ethics.

## CAPP Code of Ethics

The CAPP Certification Board is the sole body authorized to award the CAPP designation. The CAPP designation is widely recognized and bestows a recognized level of competence in the field of professional parking management. Part of that competence relates to an understanding that CAPPs will abide by the Code of Ethics, thereby protecting the public they are called to serve. The purpose of this Code is to direct CAPPs to conduct themselves with competency, honesty, professionalism, integrity and fairness, and to provide a benchmark code of conduct that stakeholders may expect.

To this end, the CAPP Certification Board hereby establishes this Code of Ethics stating that all CAPPs are bound to:

- I. Conduct their businesses according to high standards of honesty and fairness and to render that service to customers so that any “prudent person” would agree that the CAPPs conduct themselves and their businesses in a manner that is beyond reproach.
- II. Provide competent, “customer-centric” service that serves all stakeholders, and specifically protects the public.
- III. Abide by all applicable governing rules, regulations and standards.

The Code consists of two parts: The Principles and The Rules. The Principles embody the ethical and professional standards expected of CAPPs. These principles address the “substance” and not merely the “form” of service to customers and employers. The principles are the guidelines of professional conduct, the same conduct that any customer would expect of any professional on whom they rely. The rules serve as a description of best-practice or CAPP standards and outline how the principles must be implemented in specific circumstances.

## The Principles

**Principle 1. Competence:** The CAPP shall provide services to stakeholders in a manner that demonstrates competency. Competency must be maintained through participation in recertification activities that demonstrate the CAPP has maintained currency in the necessary knowledge, skills and abilities required in the role of the CAPP.

Competence is defined as having adequate levels of knowledge and skill to provide appropriate service in the parking profession as judged by one’s peers. Competence includes the recognition that when one is involved in matters beyond one’s competence, one must withdraw or seek appropriate professional assistance. Competence also includes maintaining one’s level of knowledge through continuing education/ recertification.

**Principle 2. Confidentiality:** A CAPP shall not disclose any confidential customer information without the specific written consent of the customer unless the disclosure is made in response to a legal proceeding, to defend against charges of wrongdoing by the CAPP or in connection with a civil dispute between the CAPP and a claimant. Confidentiality is a fundamental aspect of trust on which the professional-customer relationship is based.

**Principle 3. Professionalism:** A CAPP's conduct in all matters shall reflect professionalism and good character, as expected by the CAPP designation. A CAPP represents the credential and may not behave in any manner that would discredit the credential.

**Principle 4. Fairness and Integrity:** A CAPP shall perform professional services in a manner that is fair and reasonable to customers, prospective customers, colleagues, employers, and regulators, and shall disclose any conflicts of interest associated with service as a CAPP. Fairness includes subordinating one's own personal interest when it conflicts with the stakeholder's interests and when such conflicts are unclear, attempting to balance the interests of all parties equitably. The CAPP must demonstrate integrity by living according to high moral principles, and serving the public with steadfast adherence to the CAPP Code of Ethics Rules and Principles, and the policies and procedures of the CAPP Certification Board.

## The Rules

### Rules that Relate to Principle I: Competence

**Rule 101:** CAPPs shall keep informed of developments in the profession and participate in continuing education throughout their professional careers in order to improve professional competence in all fields in which the designee is involved. CAPPs shall satisfy all minimum continuing education requirements established by the CAPP Certification Board.

**Rule 102:** CAPPs shall provide service and expertise only in those areas where they have competence. In those areas that the CAPP is not professionally competent, the CAPP shall seek the counsel of qualified individuals and/or refer stakeholders to such persons or withdraw from providing service or expertise.

### Rules that Relate to Principle II: Confidentiality

**Rule 201:** A CAPP shall not reveal or use, without the customer's written consent, any personally identifiable information relating to the customer except and to the extent that disclosure or use is reasonably necessary to:

- (a) Comply with legal requirements or legal process; or
- (b) Defend the CAPP against charges of wrongdoing; or
- (c) Defend the CAPP in connection with a civil dispute between the CAPP and the customer.

**Rule 202:** A CAPP shall maintain the same standards of confidentiality to employers and employees as to customers.

### Rules that Relate to Principle III: Professionalism

**Rule 301:** A CAPP shall use the designation in compliance with the current rules and regulations of the CAPP Certification Board, as established and amended.

**Rule 302:** A CAPP shall show respect for other professionals and related occupational groups by engaging in fair and honorable competitive practices.

**Rule 303:** A CAPP who has knowledge that another CAPP has committed a violation of this Code shall promptly notify the CAPP Appeals and Discipline Committee. A violation would be any act that raises substantial questions as to another CAPP's honesty, integrity, competence, trustworthiness or fitness to practice. For the purposes of this Rule, knowledge means no substantial doubt.

**Rule 304:** A CAPP who has knowledge that raises a substantial question of legally actionable, unprofessional, fraudulent or illegal conduct by a CAPP shall promptly inform the appropriate regulatory body if appropriate, as well as the CAPP Appeals and Discipline Committee. For purposes of this Rule, knowledge means no substantial doubt.

**Rule 305:** A CAPP who has reason to suspect illegal conduct within the designee's organization shall make timely disclosure of the available evidence to the designee's immediate supervisor and/or partners or co-owners. If the CAPP is convinced that illegal conduct exists within the designee's organization, and that appropriate measures are not being taken to remedy the problem, the CAPP shall, where appropriate, alert the proper regulatory authorities, and the CAPP Certification Board.

**Rule 306:** In all professional activities, a CAPP shall perform services in accordance with:

- (a) Applicable laws, rules and regulations of governmental and other applicable authorities; and
- (b) Applicable rules, regulations and other established policies of the CAPP Certification Board.

**Rule 307:** CAPPs shall not engage in any conduct that reflects adversely on their integrity or fitness to practice.

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**Rule 308:** A CAPP shall always act in the best interest of the customer and/or stakeholders, serving the overarching requirement to protect the public.

**Rules that Relate to Principle IV: Fairness and Integrity**

**Rule 401:** A CAPP shall, in rendering services, disclose all material information relevant to the professional relationship, including but not limited to conflict(s) of interest(s), changes in the CAPP's employment affiliation, address, telephone number, credentials, and qualifications.

**Rule 402:** A CAPP who is an employee shall perform professional services with dedication to the lawful objectives of the employer and in accordance with this Code.

**Rule 403:** A CAPP shall not, during the course of rendering professional services, engage in conduct that involves dishonesty, fraud, deceit or misrepresentation, or knowingly make a false or misleading statement to a customer, employer, employee, professional colleague, governmental or other regulatory body or official, or any other person or entity.

**Rule 404:** A CAPP is prohibited from the unauthorized or misleading use of the CAPP credential. If the CAPP's renewal date has passed and the CAPP has not fulfilled requirements to maintain certification, the CAPP designation may not be used until the CAPP meets all requirements and pays all outstanding fees and fines. Additionally, CAPPs are prohibited from using the CAPP designation to represent themselves as specialists in a particular product or service, as having specific knowledge that they do not possess or from using the designation in any way to mislead stakeholders about their expertise or breadth of experience or knowledge.

**Rule 405:** A CAPP shall conduct him/herself with honor and dignity.

**Rule 406:** A CAPP shall not discriminate against others based on, but not limited to, gender, race, age, religion, disability, nationality, or sexual orientation.

**Violation of the Code of Ethics**

CAPPs who violate the Code of Ethics shall be subject to disciplinary actions. The Disciplinary Policy and Procedures may be found on the CAPP portion of the IPI website at [parking.org/capp](http://parking.org/capp) and as described within this document.



# CAPP CERTIFICATION BOARD APPEALS & DISCIPLINE COMMITTEE RULES, REGULATIONS AND PROCEDURES

## Introduction

All CAPPs are bound by the Principles and Rules of the CAPP *Code of Ethics*. In order to maintain high standards of professional conduct, any CAPP who is unable to, or has not discharged his/her professional responsibilities shall be subject to appropriate disciplinary procedures. Adherence to the *Code of Ethics* in letter and spirit is mandatory for all CAPPs, and its provisions will be strictly enforced.

## The CAPP Appeals and Discipline Committee

The CAPP Certification Board is a group of industry professionals, responsible for administering the policies and procedures relating to the CAPP Program. These responsibilities include maintaining a *Code of Ethics* and taking appropriate action with respect to a CAPP's alleged violations of the *Code of Ethics*.

## The CAPP Certification Board

The CAPP Certification Board is authorized to:

1. Make amendments to the *Code of Ethics* and/or appeals and disciplinary procedures as required;
2. Appoint CAPPs to assist with investigations or to serve as members of an Appeals and Discipline Committee;
3. Select individuals to investigate alleged violations of the *Code of Ethics*;
4. Prosecute CAPPs who violate the Principles or Rules by implementing procedures described below.

## Grounds for Discipline

Misconduct by a CAPP, including the following acts or omissions, constitutes grounds for discipline:

- any act or omission which violates the provisions of the CAPP Code of Ethics;
- any act or omission which violates the criminal laws of any jurisdiction, state or federal law;

- any act or omission which violates the CAPP Certification Board's Appeals and Disciplinary Rules and Procedures;
- failure to respond to a request by a CAPP Appeals and Discipline Committee without good cause;
- obstruction of a CAPP Appeals and Discipline Committee's performance of its duties; and/or
- any false or misleading statement made to the CAPP Certification Board or an Appeals and Discipline Committee.

This list is not exclusive, and there may be other acts or omissions amounting to unprofessional conduct which may also constitute grounds for discipline.

## Disciplinary Procedure

The disciplinary procedures of the CAPP Certification Board, as enforced by the CAPP Appeals and Discipline Committee, have been devised to ensure a fair and reasonable investigative process for any CAPP against whom allegations of *Code of Ethics* violations are brought. The discipline procedure shall follow the steps described below:

1. **Request for Investigation:** Upon receipt of a written complaint, the CAPP Appeals and Discipline Committee reviews the allegations to determine if further investigation is warranted.
2. **Investigation:** If the CAPP Appeals and Discipline Committee determines to proceed with an investigation, the CAPP is given written notice of the investigation, describing the general nature of the allegations. The CAPP is given 20 business days from the date of notification within which to file a written response. If no response is received within the allotted 20 business days a formal complaint is issued and the case is presented to the CAPP Appeals and Discipline Committee.

3. **Probable Cause Determination:** The CAPP Appeals and Discipline Committee determines if there is probable cause that grounds for discipline exist. If so, a formal complaint against the CAPP shall be issued. If the initial complaint contains insufficient information, the CAPP Appeals and Discipline Committee may request further investigation or provision of additional information.
4. **Formal Complaint:** Where deemed necessary, the complaint will contain the specific allegations of misconduct and the alleged violation of the *Code of Ethics*. The CAPP has 20 business days from the date of notification of the complaint to file a written response to the allegations. If no answer is received, the allegations in the complaint are deemed admitted and the CAPP's right to use the CAPP certification is administratively revoked.
5. **Review:** CAPP Appeals and Discipline Committee, after considering all the facts and recommendations, will render a final decision.

6. **Decision:** All decisions of the CAPP Appeals and Discipline Committee shall be final.

### Forms of Discipline

If grounds for discipline have been established, the CAPP Appeals and Discipline Committee may impose any of the forms of discipline outlined below:

- A private written censure;
- A public letter of admonition;
- Suspension of the right to use the CAPP credential for a specified period of time, not to exceed five years;
- Permanent revocation of the right to use the CAPP credential.

All disciplinary actions, except private written censure, may be publicly disseminated.



