



Rosen Institute Complaints and Disciplinary Policy
Ratified by Board September 15 2020
Amended 8/19/2023

Every certified Rosen Method professional, intern, student, teacher and all training centers are subject to the Rosen Institute Complaints and Disciplinary Policy procedures.

Definitions:

Complainant – person or center lodging a complaint

Respondent – person or center that is the subject of a complaint

RIB – Rosen Institute Board

RIEC – Rosen Institute Ethical Council

RIET – Rosen Institute Executive Team

RMPA – Rosen Method Professional Association

SMC – Service Mark Committee

The Rosen Institute Ethical Council (RIEC) has been formed by the Rosen Institute to receive complaints or concerns from a member of the public, clients, Rosen Method practitioners, teachers, supervisors, interns, students, and training centers. However, the RIEC must be satisfied that all reasonable avenues for resolution have been explored before accepting a complaint for investigation. This may mean referring the complaint back to the complainant to pursue their complaint directly with the individual, the training center or with the Rosen Method Professional Association (RMPA) within the country of origin in which the incident or complaint occurred.

Each training center and RMPA may develop their own procedures for handling concerns and complaints from members of their communities. If these organizations are unable to find a resolution at the local level or feel they are not in a position to arbitrate the complaint, they may refer the complaint to the RIEC for further study and mediation.

The RIEC does not accept complaints from third parties.

Cases will be considered within one year from the date of the occurrence of a complaint.
Exceptions to this timeline will be considered upon request.

The RIEC would be the point of contact if:

- a) the above avenue for resolution of the complaint has not been adequately or reasonably resolved,
- b) the local Rosen community is not large enough to allow for confidentiality and if there is a conflict of interest.
- c) the person making the complaint, (be it a member of the public, a client, Rosen Method practitioner, teacher, supervisor, intern, student, or training center) does not have a RMPA in their country, or does not belong to their country's RMPA, or a similar professional organization where complaints regarding the Rosen Method can be heard.
- d) the local RMPA is unable to process complaints. In this situation complaints can be referred from the local RMPA to the RIEC
- e) there is noncompliance with the [Rosen Institute Ethics, Scope and Code of Practice](#) (2017).

The complaint should be sent by email to the RIEC Chair at this address:
riethicalcouncil@gmail.com



Procedure for complaints

7. A formal complaint should be written and sent electronically by email to: riethicalcouncil@gmail.com. All communication should be in English only. The complaint will then be acknowledged by the Chair of the RIEC, dated and recorded confidentially in the RIEC files. The complainant will be made aware that all communication will remain confidential and if the case is accepted for investigation members of ET will also be informed.
7. **The RIEC requests** that the Complainant put the complaint in writing giving adequate details of the following:
 - a) the complaint itself,
 - b) what measures, if any, have been taken to resolve or redress the complaint,
 - c) the reasons the complaint has not been resolved,
 - d) contact information of the Complainant and the Respondent; name, mailing address, email, phone number, and what relationship they each have to the Rosen Method (member of the public, client, student, intern, practitioner, etc.),
 - e) submit any supporting evidence, as may be available, with the complaint.
 - f) sign an RIEC “Complainant Declaration and Consent to Disclose and Confidentiality Form”, giving the RIEC permission to gather information for an investigation.
 - g) all communications must be dated and signed by the complainant, in order for a timeline of events surrounding the complaint to be documented.
 - h) the RIEC will contact the respondent by telephone to make them aware a complaint has been received and to verify the best confidential route of communication to send them the relevant documents.
 - i) the RIEC will send a copy of the complaint by the assured communication route asking for confirmation that the documents have been received..
 - j) if there is no response after 2 weeks this should be followed up by a telephone call to ensure the document has been received.
3. **The Respondent will reply** with agreement or rebuttal of the complaint within **30 days** to the RIEC.

The Respondent will,

- a) submit their contact information to the RIEC: name, mailing address, email, phone number, and state their relationship to the Rosen Method (student, intern, practitioner, etc.),
 - b) date and sign all documents in order for a timeline of events surrounding the complaint to be documented.
 - c) sign the “Respondent Declaration and Consent to Disclose and Confidentiality Form”.
4. The RIEC will collect adequate information in order to ensure the complaint is documented in sufficient detail. Interviews and correspondence with third parties may be needed to gain clarity of the events of the complaint and response. If there are any materials from earlier attempts to resolve a particular case, the RIEC will study all materials submitted. All information will be collated within six months of receiving the respondents documentation.
5. If the RIEC determines that the information obtained describes conduct that violates any section of the Rosen Ethics and Professional Conduct Policy, or teacher training standard, or other applicable rule, it will accept the case.



6. If the RIEC will then inform the Rosen Institute (RIET) that a complaint has been received and accepted. The RIEC will describe the nature of the case to the RIET. The names of the individual(s) or organization(s) involved will not be disclosed at this point.
7. If the RIEC determines that the information obtained does not describe conduct that violates any section of the Rosen Ethics and Professional Conduct Policy, of teacher training standard, or other applicable rule, it will dismiss the case and notify the Complainant and Respondent in writing within 30 business days of its decision. The complaint will be null and void.
8. It is possible for a case to be closed by consensual agreement. However, the RIEC may continue to investigate the complaint and take action. This may include the imposition of reprimands and/or sanctions.
9. In the event the complaint is withdrawn, at any time during the process, the individual(s) or organization(s) will be immediately informed and the complaint will be considered null and void, and will have no significance on their record.

10. Reprimands and Sanctions:

Rosen Method Practitioners and Teachers in breach of the Rosen Institute Ethics, Scope and Code of Practice (2017) are liable to lose certification in the Rosen Method, a general form of suspension from practice, or requirement for additional training, or other recourse, may be considered necessary to address any issues that have surfaced.

- a) In some circumstances the RIEC may determine there has not been a violation of the Rosen Institute Ethics, Scope and Code of Practice (2017). Nevertheless, the RIEC can recommend continuing education without reprimand or sanction. Such recommendations will be suggested to the Respondent in writing.
- b) Reprimands: The RIEC may decide to issue a reprimand when it determines there has been a violation of the Rosen Ethics and Professional Conduct Policy, but more severe sanctions are not warranted and any terms of redress are either unnecessary or have already been complied with. A reprimand is written by the RIEC, (within 30 business days), of its decision and sent to the Respondent with a copy sent to the RIET. The Respondent will document and inform the RIEC that they are in compliance with the conditions of the reprimand within a specified period of time.
 - a. Multiple Reprimands: Two reprimands for the same misconduct may result in the RIEC recommending a sanction.
- c) Sanctions: The RIEC may recommend to the Service Mark Committee (SMC) that the Respondent be asked to voluntarily resign their certification and cease practicing either temporarily or permanently. In some cases, recommendations for counseling or continuing education would be proposed as a requirement for regaining certification.
 - a. The RIEC shall submit recommendations for sanctions to the SMC. All possible sanctions are subject to SMC decision and communicated to the RIEC Chair.
 - b. Practitioner Decertification, Teacher Decertification or limitation: If decertification is warranted, the RIEC and the Service Mark Committee (SMC) must collaborate on such a decision.



- d) Monitoring Reprimands and Sanctions: The Respondent will be in contact with the Training Center, RMPA or RIEC about their compliance with the reprimands and/or Sanctions. How this will be monitored will be decided on a case by case basis.

11. Criminal proceedings:

In the event that, in the opinion of the RIEC and SMC, the matter complained of is a criminal act, the Complainant will be advised to contact her/his local police authority. The individual(s) and/or organization(s) involved will also be so informed. If the police, or other similar statutory organization, investigate or make criminal charges against a Rosen Method professional, intern, student, or organization, the Rosen Institute may immediately suspend the professional, intern, student or organization from practice or training. The RIEC and SMC will suspend their investigation of the case pending the outcome by the police.

Regardless of the outcome of the criminal proceedings the Rosen Institute, the RIEC, and SMC may take disciplinary action against the Rosen Method professional, or organization if, in the Rosen Institute's opinion, they have conducted themselves contrary to the Rosen Institute's Ethics, Scope of Practice, and Code of Conduct practices.

12. Upon the completion of the investigation of the complaint:

The RIEC will submit its decision in writing to the Respondent as to the outcome of the investigation within **30 days**.

All decisions of the RIEC will also be reported to the RIET and the SMC without delay. The RIET shall not have the power to overturn any decision but may advise the Chairperson of its views.

The RIEC will convey to the Complainant that the case has been investigated and actions have been taken to address the complaint in accordance with the RI guidelines. This will happen within 30 business days of the completion of the investigation.