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# NATIONAL ASSOCIATION OF LONG TERM CARE ADMINISTRATOR BOARDS

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# Procedures

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## I. Organization

### A. INCORPORATION

The National Association of Long Term Care Administrator Boards (NAB), formerly the National Association of Boards of Examiners for Nursing Home Administrators, formed on November 23, 1970. It is incorporated under the Not-for-Profit Corporation Law of the State of New York.

NAB was established by representatives of select state, commonwealth, and territories of the United States and the District of Columbia boards and/or agencies responsible for licensing nursing home administrators as mandated by Title 42 Code of Federal Regulations, Part 431,700-708.

### B. OBJECTIVES (GOALS)

NAB's Leadership Team<sup>1</sup> develops the biannual strategic plan, which is subsequently approved by the Board of Governors. This plan establishes the objectives of the association.

### C. OPERATIONS

The procedures for management and operations of the organization are identified throughout this document as well as the ensuing supplemental resources.

### D. ORGANIZATIONAL STRUCTURE

Proposed changes in the organizational structure of NAB are submitted to the Bylaws, Policies and Procedures Committee for review.

The committee presents the proposed changes with or without recommendations to the Board of Governors for whatever action it deems advisable.

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<sup>1</sup> The NAB Leadership Team consists of the Executive Committee officers of the Board of Governors in addition to the standing committee chairs/co-chairs and examination line of service subcommittee chairs.

## II. Membership

### A. MEMBERSHIP TYPES

i. **Governing Membership** – Governing members are the board members, in addition to the executive directors/secretaries, of the state, commonwealth, district, and territorial boards of the United States and the District of Columbia. Governing members are eligible to serve on the Board of Governors and committees, to hold office, and to serve as the state delegate and vote *based on* one vote per state. NAB staff, as designated by the organization’s president and CEO, maintains a current list of members and employees of state boards and/or licensing agencies to determine eligibility for active membership.

ii. **International Membership**

Governmental bodies outside of a state, commonwealth, territories of the United States of America and the District of Columbia charged with the examining, licensing and/or registration of senior living and health services executives shall be eligible for international membership in the association. International members in good standing are eligible to name a designated primary and secondary representative, and, when utilizing NAB examinations as a requirement for licensure, certification, or registration, access the NAB exam candidate application system for candidate eligibility and score reporting. International member representatives are also eligible to serve as standing committee members, participate in committee meetings, except for the examination committee meetings and attend regular and special meetings of the association at the member rate. International members shall be ineligible to hold office, serve as committee chair or vice-chair or hold representation on the Board of Governors.

iii. **Organizational Membership**

Academic Institutions offering a course of instruction for senior living and health services executives in addition to non-profit professional societies and trade organizations are eligible for organizational membership. Organizational membership shall include one primary and one secondary individual representative designated by the organizational member.

iv. **Subscribing Membership**

The subscribing membership is an individual membership that belongs to a named individual in lieu of an organization or state jurisdiction/agency. Individuals who would qualify for this membership type are as follows:

- a. Former governing members and/or individuals who were formally eligible for governing membership.
- b. Individuals who are on faculty at universities, colleges, or schools that offer senior living and health services administrator courses. Their institutions may or may not hold a NAB Academic Accreditation.
- c. Representatives or paid staff members of any business or professional organization engaged in activities which relate to the objectives of NAB.

Subscribing members are eligible to hold office, to serve on all committees except for the examination subcommittees, and to serve as the committee chair, except representatives or paid staff of trade, professional or other non-governmental organizations that would present a conflict of

interest. Subscribing members are ineligible to serve as a voting state delegate. While NAB accepts subscribing membership from professionals that reside outside of the United States, those interested in holding an officer position or committee chair role within the organization must reside in the US.

Individuals interested in membership may also voluntarily apply as a subscribing member at [www.nabweb.org](http://www.nabweb.org).

**v. *Randy Lindner Distinguished Leader Membership***

A Randy Lindner Distinguished Leadership member is an individual who has served the association with distinction for at least five years and has made significant contributions to the operations and growth of the organization, and/or a person who has made significant contributions to the goals, philosophy, and ethics of the senior living and health services administration profession. Randy Lindner Distinguished Leadership members are entitled to attend meetings and serve on committees but cannot hold office or vote unless otherwise eligible/qualified. These memberships are awarded on a lifetime basis and dues are not owed for this membership type. The following stipulations apply to this membership category:

- a. The executive committee may award no more than one Randy Lindner Distinguished Award Membership per year for each of the two categories.
- b. The award shall consist of a lifetime waiver of annual membership dues in addition to the reimbursement of expenses to attend the meeting during which the award is presented.
- c. The awardee will receive an appropriate certificate or plaque for recognition of honor.
- d. The NAB Chair arranges for the recipient to be present at the subsequent meeting of the association to receive the award as well as approves their travel expenses to be covered.

**B. MEMBERSHIP SUSPENSION AND EXPULSION**

Members who have any alleged violations of NAB's Statement on Professional Conduct (PO-II.5) shall be reported to NAB's Chair or President and CEO. Upon receipt of the complaint NAB's President and CEO will either mediate, report to law enforcement, or appoint a Review Task Force in accordance with NAB's Code of Professional Conduct Procedures (PR-II. E) to determine if a temporary membership suspension or permanent revocation is appropriate.

### **III. Board of Governors**

**A. MEMBERS**

The licensing authorities of each NAB governing member state, commonwealth, district, territory, and the District of Columbia shall complete a Board of Governors delegate form to certify the representative who will serve as the voting member on the Board of Governors to cast the jurisdiction's official vote.

Delegate certification forms shall be completed a minimum of seven (7) days prior to regular and special meetings. Should the primary designee not be able to attend, an alternate governing member may be designated to cast the jurisdiction's official vote. Delegates may cast the jurisdiction's ballot in person, by mail, or electronic vote as meeting protocol outlines. Designated delegates and alternates will continue to serve until a successor is appointed, at which time a new delegate certification form must be completed.



## B. DUTIES OF THE BOARD OF GOVERNORS

All procedures for carrying out these procedures are enumerated by section in this manual.

# IV. Officers

## A. NOMINATION OF CANDIDATES

Officers are elected biennially by the Board of Governors at the Annual Meeting held in the even numbered years. Elections are held by written or secure electronic ballot, and officers are elected by majority vote.

The Nominating Committee presents candidates separately for the offices of chair-elect, secretary, and treasurer. Candidates for chair-elect are placed in nomination first, the floor is opened for other nominations and the chair-elect is elected. Election of other officers follows with secretary, then treasurer.

## B. NAB ELECTIONS PROCESS

Prior to the meeting, both initial and runoff ballots are prepared for each candidate office. NAB's President and CEO is responsible for all ballots prior to the election. Secure electronic balloting may be used if allowed under the New York State Not-For-Profit Law. Ballots should contain the names of those candidates submitted and vetted by the Nominating Committee. Nominations from the floor will not be taken due to extensive vetting and interview process prior to election. Runoff ballots are available should they be needed.

Prior to voting, each vetted officer candidate will be given a specific amount of time to share their views with the voting membership. The NAB Chair will appoint a timekeeper, who has the responsibility to ensure each candidate does not exceed their allotted timeframe. Candidates running for the position of Chair-Elect may speak for a maximum of ten (10) minutes. Candidates running for all other positions may speak for a maximum of five (5) minutes.

When voting for the NAB officers, the chair appoints a total of three (3) tellers who are non-voting members. Tellers will distribute one ballot to each voting delegate. Once ballots are cast, the tellers collect the ballots, and tabulate the results. Results are then given to the NAB Chair. If electronic balloting is used, a secure, independent system will be procured.

A majority vote shall elect the officers of the organization. Should a majority be reached, the chair will announce the result. In the case where there is no majority vote, the chair conducts a runoff election between the two candidates with the largest number of votes.

Once the election is complete and the Board of Governors has accepted the results, all paper and/or individual electronic voting record ballots are destroyed after the elections are completed unless the Board of Governors rules otherwise.

## C. TAKING OFFICE

All officers are installed in a ceremony arranged by the chair before the end of the meeting in which they are elected. The newly elected officers take office at the end of the Annual Meeting during which they are elected. The outgoing chair-elect automatically succeeds to the office of the chairperson. The outgoing chair automatically succeeds to the position of immediate past-chair.

#### D. OFFICER VACANCIES

If an officer is unable to continue to serve in the office to which s/he has been elected, the chair presents the name of a successor to the Executive Committee for approval to fill the unexpired term. The appointment is approved or rejected by the Board of Governors at its next meeting. Should a vacancy occur during a meeting of the Board of Governors, the chairperson presents his/her appointee directly to the Board of Governors for approval at that time.

If the chair resigns, or for some other reason is unable to serve, the chair elect succeeds to the chair position. The new chair shall call for nominations for the office of the chairperson elect. The election shall be held forty-five (45) days after the call for nominations. At the discretion of the Executive Committee, said elections may be conducted via mail/electronic ballots. Members voting by mail shall return the mail-in ballots to NAB by certified or registered mail within twenty (20) days).

#### E. DUTIES

The duties of each officer are defined under the appropriate job description.

#### F. REMOVAL FROM OFFICE

When an officer fails to carry out the duties of his/her office, fails to adhere to the laws under which the association is incorporated, violates ethical standards in accordance with [Section XI](#), does not fulfill his duties according to the policies, procedures, and rules of NAB, or does not perform their job responsibilities to the satisfaction of the membership, steps may be taken to remove him/her from office. This action must be approved by two thirds ( $\frac{2}{3}$ ) vote of the members of the Board of Governors.

The chair may declare the office vacant and submit his/her action for approval of the Board of Governors, listing the reason(s) for such action; or

A member of the Board of Governors may move, during any meeting of the Board of Governors, to remove the officer. Such action must follow Roberts Rules of Order; or

Member(s) of the Board of Governors may circulate a petition securing signatures of the Board of Governors members. If two thirds ( $\frac{2}{3}$ ) of the members of the Board of Governors sign the removal petition, the petition is presented to the chair who immediately notifies the officer of his/her removal.

### V. Association Meetings

#### A. PLANNING (TIME/PLACE)

The NAB Leadership Team<sup>1</sup> elicits suggestions from the membership for time and arrangement of meetings. At each Annual Meeting, the chair notifies the membership of future meeting arrangements and dates.

NAB's Meeting Director, with the guidance of the president and CEO and the NAB Leadership Team<sup>1</sup>, negotiates for the best and most economical meeting places and hotel rates/virtual delivery platform for association meetings.

#### B. NOTIFICATIONS

Notice of the annual meeting is communicated to the membership at least ninety (90) days before the meeting date. Such notices shall include a full schedule for the committee meetings and events of the

association. Notices shall be communicated to state executives and board members of each state, commonwealth, district, and territorial licensing authority.

#### C. GOVERNING MEMBER BENEFIT FOR HOST STATE

To encourage member board participation in the host state, if the host state registers more than two members for a meeting, any additional members from that state will be charged only meal function expenses.

#### D. ESTABLISHMENT OF A QUORUM

The chair shall determine, to the satisfaction of the members present, that the quorum requirement has been met. S/he may adjourn the meeting from time to time until a quorum is present. If no quorum is present, matters on the agenda may be discussed, but no official action can be taken.

#### E. ORDER OF BUSINESS

The chair develops the order of business for the Board of Governors meetings. The agenda is presented when a quorum is established, and an official approval is not required should there not be any necessary changes by the Board of Governors. The agenda may be altered or suspended by a majority vote of the voting members present.

#### F. MATTERS OF RECORD

When any member of the Board of Governors believes a matter being acted upon is of questionable propriety; s/he may state his/her dissent and objection. The designated meeting minute recorder documents his/her protest in the minutes. Also, s/he may register his/her protest by letter or memorandum, which shall be made a part of the association meeting records.

#### G. MINUTES

A designated staff member, the secretary of the Board of Governors or another selected volunteer shall serve as the meeting minute recorder compiling minutes of each meeting according to guidelines adopted by the Board of Governors and present them to the secretary (*or chair elect if the secretary is the minute taker*) for review and signature within thirty (30) days following the meeting.

#### H. SPECIAL MEETINGS

When it is deemed advisable, a special meeting may be called by the chair, the Executive Committee<sup>2</sup>, or one third (⅓) of the members of the Board of Governors. Time, arrangements, agenda, quorum, minutes, etc., shall be handled the same as described above in sections A – G. NAB's President and CEO shall send notification of special meetings at least thirty (30) days in advance following procedures listed in section B above.

#### I. VIRTUAL MEETINGS

Virtual meetings must be held in compliance with Not-For-Profit Corporation Law in the state of New York as outlined in PR-V.J.1 Guidance-Electronic Meetings.

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<sup>2</sup> NAB's Executive Committee consists of the following individuals: Chair, Chair Elect, Secretary, Treasurer, Immediate Past Chair, and NAB's President and CEO (*ex-officio member*)

## VI. Committees and Task Forces

### A. STANDING COMMITTEES

Each committee shall submit an anticipated budget for their respective committee(s) to the Budget and Finance Committee chair by September 1<sup>st</sup> of each calendar year.

Each committee shall review the bylaws, policies, and procedures that relate to the work of their committee(s) annually. Should any updates and/or changes be needed, these shall be submitted to the Bylaws, Policies and Procedures Committee by April 1st of each calendar year.

Except for the NAB Leadership Team<sup>1</sup> and the Executive Committee<sup>2</sup>, the chair determines the number of standing members to serve on each committee and appoints all members, unless otherwise designated in the bylaws, policies, and/or procedural documents. Committee appointments are made prior to association meetings, and the chair notifies the association of each committee's membership as soon as feasible.

The chair may add additional members as s/he deems advisable except as otherwise provided herein. The chair also appoints a committee chair and a committee vice-chair for each committee, except any committee required to have multiple vice chairs appointed per policy or bylaws applicable to the committee. The committee chair's duties are listed under job descriptions. The committee vice-chair presides over committee meetings when the chair is not present and performs such other duties as may be assigned by the chair. Each committee meets at the Annual Meeting, at the Mid-Year Meeting and at such other times, as deemed necessary by the committee chair and the NAB chair. The vice-chair of each committee shall concurrently serve as the committee's liaison to the Bylaws, Policies and Procedures Committee and as such shall be a standing member of that committee.

### B. EXECUTIVE COMMITTEE

In the interval between meetings, the Executive Committee<sup>2</sup> acts on behalf of the association in handling routine affairs, such as operations of the national office, payment of bills, handling of correspondence, upkeep of records, sales, and services, and implementing changes as directed by the Board of Governors. For purposes of clarification "routine affairs" do not include employing and/or terminating the president and chief executive officer, disposing of association properties, moving the national office, or making final decisions on contracts.

When indicated by need, the Executive Committee<sup>2</sup> negotiates contracts and presents them to the Board of Governors for review and approval before they become effective. The committee may make recommendations to the Board of Governors for changes in contracts but may not make final decisions on these changes or commitments that bind until officially approved by the Board of Governors.

The Executive Committee<sup>2</sup> maintains liaison with contractors to ensure that provisions of the contract are carried out. Any discussions of a contract(s) affecting a standing committee shall include the presence and participation of the requisite committee chair.

The Executive Committee<sup>2</sup> reports its activities to the Board of Governors and to the membership at all meetings and at such other times as deemed advisable by the chairperson.

Meetings of the Executive Committee<sup>2</sup> are called by the chairperson, as s/he deems necessary. S/he must call a meeting upon written request of three members of the committee provided the written

request is delivered ten (10) days before the desired meeting date to the chairperson's designated official address. The chairperson may waive this time requirement, as s/he deems advisable.

Executive committee meetings are open to any official representative of a member state. Scheduled meetings will be posted on the website.

In the event the Executive Committee<sup>2</sup> perceives the need for a change that will have a major effect on the entire organization, such as the termination and/or employing a president and chief executive officer or making a change in location of the NAB national office, it may make recommendations to the Board of Governors through the chairperson. The chairperson, under his/her authority to appoint special committees, may appoint a search and recruitment committee to address the problem or need and to make its recommendations directly to the Board of Governors. Should the Board of Governors deem it advisable, it may elect such a committee(s).

When a matter arises that is not covered by policy or procedure and/or the chairperson determines an action or matter needs immediate action, the Executive Committee<sup>2</sup> may adopt and implement a temporary solution. The chairperson reports this action to the Board of Governors and the membership immediately. Such action taken cannot bind the Board of Governors beyond its next meeting date or the date upon which results from a mail/electronic ballot is determined, at which time the temporary action can be approved, modified, or terminated.

Minutes of each meeting are recorded by a designated staff member, or the Executive Committee secretary of the Board of Governors then reviewed and signed by the secretary of the Executive Committee (*or chairperson elect if the secretary is the minute taker*). Minutes are distributed by the president and chief executive officer as directed by the chairperson.

## C. BYLAWS, POLICIES, AND PROCEDURES COMMITTEE

### *i. Bylaws*

Recommended changes must be submitted to the Bylaws Committee at least sixty (60) days prior to a meeting of the association. The committee reviews, analyzes, and develops a proposal based upon individual recommendations. It sends the proposal(s) to the NAB national office in time to be communicated to the membership at least thirty (30) days prior to an annual, mid-year, or special meeting.

- \* If the Bylaws Committee recommends and the chairperson concurs, the chairperson may direct that the proposal(s) be submitted to the Board of Governors by mail/electronic ballot.
- \* Amendments to the bylaws are approved by majority vote at any meeting or by a majority vote of the member states through mail/electronic ballot.

### *ii. Policies, Procedures, Supplemental Documentation, Job Descriptions*

Any changes that are recommended from a committee must be sent to the Bylaws Committee in time to meet the notification deadlines before any regular or special meeting.

However, if the chairperson determines a matter needs immediate attention, s/he may direct the Bylaws Committee to consider the matter and prepare a recommendation for Board of Governors review. The chairperson may direct that the committee's recommendations be acted on at any board meeting (*policy*) or Executive Committee meeting (*procedures*), in which case a majority of voting members will decide, or The chairperson may direct that the recommendation be submitted for mail/electronic ballot in which

case the majority vote of member states (*policy*) or Executive Committee<sup>2</sup> members (*procedures*) will decide.

#### D. EXAMINATIONS COMMITTEE

The Examinations Committee oversees all aspects of the national NAB examinations program. This is inclusive of the Core of General Knowledge (CORE), The Nursing Home Administration (NHA) Line of Service (LOS), The Resident Care Assisted (RCAL) Living Line of Service (LOS), and the Home and Community Based Services (HCBS) Line of Service (LOS) examinations. All informational and/or promotional materials developed on the NAB examination(s) shall be approved by both the Examinations Committee and the Executive Committee<sup>2</sup>.

Only standing committee and alternate members are permitted to attend examinations workshops where confidential examination material/ data is reviewed and modified.

The examinations committee conducts open meetings to discuss administrative matters, and closed meetings to consider and review examination questions and evaluate secure candidate data.

##### *i. Committee Composition*

Appropriate controls should be in place to ensure confidentiality, objectivity, and impartiality of all NAB examinations. As such, the NAB chairperson shall delegate to the Examinations Committee chair and the Executive Committee member liaison(s) the authority to identify prospective committee members who collectively represent a wide variety of expertise, experience, and are representative of the senior living and health services continuum. When reviewing potential committee members, diversity of demographic location, gender, ethnicity, years of experience, ability to serve as a Board of Governors delegate, organization ownership status and size should be given consideration. It is important evaluate applications, identifying activities that could be a perceived or actual conflict of interest, and restrict these applicant's participation accordingly (i.e., educators or others who may teach or prepare candidates for the examination should not be involved in exam construction or review). Once committee members are selected, the Examinations Committee chair presents a slate of members to the NAB Executive Committee for approval.

The Examinations Committee shall consist of up to thirty-eight (38) members inclusive of the Examinations Committee chair, the Examinations Committee vice chair, three (3) line of service subcommittee chairs/vice chairs, and a maximum of ten (10) standing committee members on each of the line of service subcommittees (NHA, RCAL and HCBS). The NAB chairperson will appoint the chair and vice chair for the Examinations Committee in addition to the chairs/vice chairs for each of the respective line of service examination subcommittees. A maximum of nine (9) additional alternate members may be appointed to each of the three (3) subcommittees to ensure adequate representation for each subcommittee is available to participate in all workshops. Alternate members can also participate in any remote item writer drive conducted to build knowledge and understanding of NAB's examination program as well as to build a pipeline of potential standing committee members for future appointments.

If the number of standing committee members is insufficient to conduct the work of the committee at any given time, the committee chair in collaboration with the Executive Committee member liaison may make temporary appointments to the committee. They may also make appointment(s) to serve the

remainder of the term of a resigned or terminated member(s). The Examinations Committee chair may convene, as necessary, a CORE work group consisting of subject matter experts (SMEs) consisting of standing committee members from each of the three line of service subcommittees.

Standing committee members may be appointed to either a one (1), two (2), or three (3) year renewable term on one (1) of the three (3) specified line of service (LOS) subcommittees. Standing committee members can serve a maximum of six (6) years consecutively, if reappointed to subsequent terms. After serving as an LOS subcommittee standing member for six (6) consecutive years, individuals are ineligible for reappointment as a standing member on any of the NAB examinations committees/subcommittees for a minimum of one (1) year from the date their term date ends. During this period, individuals may be appointed to serve any of the respective subcommittees as an alternate member. Should a SME be serving in the role of Examinations Committee chair/vice chair, or the NHA/RCAL/HCBS Subcommittee chair/vice chair when the term limits outlined above are exceeded, they will be exempt through the remainder of their term at which time they will be ineligible to serve as a standing committee member or as an Examinations committee/subcommittee chair or vice chair.

As vacancies arise within this committee, subject matter experts (SMEs) interested in participating as a volunteer with the NAB's Examinations Program are asked to complete the *NAB Examination Form for Subject Matter Experts*, which can be obtained by NAB staff (Document VI.D.2.vi). Applications are then vetted and reviewed by NAB staff for completion prior to their review by respective LOS chair and vice chair in addition to the Examination Committee chair and vice chair. to assess committee needs and applicant expertise. Committee applicants will also interview with the subcommittee chair and/or vice chair. Upon approval by the Examination committee leadership, the application is reviewed by the NAB Chairperson, the Immediate Past Chairperson, and the President & CEO. Once validating qualifications and that the SME does not have any disqualifying factors, the NAB Chair will determine if and when to bring the applicant forward to the NAB Executive Committee for final approval. Upon approval, the new committee member will be notified regarding details such as orientation requirements, paperwork to be completed, etc.

A signed exam member expectations/confidentiality agreement in addition to a conflict-of-interest form must be signed and be on file for each standing and alternate member of the Examinations Committee before the member may work on the examination (See PO-XI.1). In addition, an orientation session will be conducted for all new members of the Examinations Committee to familiarize members with the policies and procedures of the committee. It is ***strongly recommended*** that new committee members attend an examination orientation session prior to participating in examinations and/or item writing workshop. This training session is conducted by the committee/subcommittee chair(s) and NAB's 3<sup>rd</sup> party testing agency for all new committee members and item writers. They may take place virtually or in person.

Service on the NAB Examinations Committee is a privilege and may be terminated at any time by the Examinations Committee Chair and/or the Executive Committee member liaison at any time. Becoming a member of the Examinations Committee is a time commitment and some travel is required in addition to individual work outside of in-person meetings. Standing committee members participate in activities including but not limited to remote item writing drives, item review workshops, exam construction and



review, item bank maintenance, standard setting activities, review/development of practice exams and other committee business as necessary to maintain the validity and defensibility of the NAB exams and item bank. Those who are unable to participate regularly in the activities of the committee may be removed prior to their term expiration date.

Members to serve as NAB item writers and/or examinations committee members who have not already done so will be strongly encouraged to take and pass all applicable NAB examinations at no cost prior to becoming an item writer or joining the Examinations Committee. Those who have not taken applicable examinations will be ineligible to take tests developed by the NAB for a minimum of two years from the time of their last date of participation. Violation of this policy will result in an invalidation of the exam score, reporting of same to appropriate licensure or credentialing bodies and termination from item writer or committee participation.

#### ***ii. Disqualifying Factors for Examination Committee Members***

All SMEs who apply for a position on the NAB Examinations committee should declare all professional or personal responsibilities that could be considered a potential conflict of interest (*real or perceived*). This may include paid and/or volunteer COIs. Below we have listed some disqualifying conflicts that, should a SME fit one of these descriptions below, would not qualify as a NAB examination committee member. Please note that this is not an exhaustive list and other conflicts might also preclude you from participating. If you have questions, please reach out to the NAB offices for assistance. If at any time, an individual's circumstances change, and the conflict ceases to be an issue, NAB can reevaluate the application at that time.

- ✓ A SME who works with an organization or company who develops examination preparatory materials for publication and purchase.
- ✓ A SME who conducts refresher courses to prepare licensees for any of the NAB examinations.
- ✓ An academic working within an HSE™ degree program, where they train future administrators.
- ✓ An academic working at a non-HSE™ accredited university, but in a program focused on senior living and health services where they are preparing individuals to become administrators.
- ✓ Any author/co-author of a book listed within NAB's Recommended Reference list for the CORE, NHA, RCAL, and/or HCBS exams.

This does not preclude the committee's utilizing any member's expertise on a consultant basis.

### **E. EDUCATION COMMITTEE**

All recommendations and decisions made in relation to NAB's Academic Accreditation program shall be made in accordance with the [NAB Academic Accreditation Workbook: How to Pursue NAB Accreditation](#).

Academic Accreditation site visits shall be conducted based on the following criteria:

- ✓ All site visitors will be appropriately qualified for the work to be performed.
- ✓ Site visitors will sign a current conflict of interest statement, which attests that there are no conflicts in their work as site visitors prior to conducting the review of a specific program seeking accreditation.



- ✓ The Education Committee chair, in consultation with the NAB chair and the President and CEO, will select site visitors.
- ✓ Site visitors will have no connection or relationship of any kind to the program scheduled for review.
- ✓ Whenever possible, site visitors will not be residents of the state where the program under review is located.

Site visitors will also abstain when the Education Committee and Board of Governors vote on whether to grant a program NAB accreditation. The following recommendations may be made to the Education Committee for action:

- ✓ Accreditation
- ✓ Accreditation with conditions
- ✓ Accreditation with recommendations
- ✓ Non-accreditation

Should a standing committee member be a representative from or have a perceived/actual conflict of interest on the academic institution under review, this member will need to recuse themselves from voting on the recommendation brought forward by the Education Committee on this applying institution. The recommendation, first approved by the Education Committee, will then be reported to the NAB Board of Governors for final action.

The committee will also periodically review trends and developments in the industry and to make recommendations to the Board of Governors concerning the minimum curriculum of study required to adequately prepare those entering the profession. The committee, in collaboration with the Examination Committee, periodically reviews education materials, including study materials, used by candidates to prepare for the NAB national examination(s). Only members of NAB will be allowed to participate in the committee's affairs, accreditation, and academic programs.

NAB retains the right to withdraw the accreditation of any academic institution that fails to maintain the standards of accreditation, either as reflected in the annual report or based on other substantiated feedback on its program based upon just cause listed herein.

Just Cause is defined as failure to maintain the quality of its educational program to include, but not limited to:

- ✓ Failure to pay fees for renewal of accreditation.
  - Failure to maintain requisite accreditation criteria as outlined in the accreditation handbook. Examples of this requisite criteria may include:
    - Minimum program director and faculty positions
    - Required internship as outlines within the accreditation materials
    - Educational content provided in all three lines of service as outlined within the NAB Domains of Practice (Nursing Home, Resident Care/Assisted Living, and Home and Community Based Services)
- ✓ Failure to correct any deficiencies within the required time period.

- ✓ Failure to file the annual report in a timely manner.
- ✓ Change in program delivery from an onsite program to a distance learning program, or vice versa.
- ✓ Change in regional accreditation status of the college or university.
- ✓ Behavior which is deemed unethical.

NAB has established a process for dealing with just cause withdrawal of accreditation. The allegations of non-compliance will be referred to the chair and vice chair of the Education Committee. The allegations will be investigated by the Education Committee's standing members. All investigations and potential disciplinary actions will be conducted in a confidential manner and the information will only be shared with the Education Committee members and NAB leadership who are pertinent to the investigations as well as any other individuals outside of NAB that are involved in the investigation. The Education Committee's standing committee members will reach a formal conclusion to "dismiss" or to "proceed." A vote to "proceed" will trigger the following process:

- ✓ **First Notice of Non-Compliance:** A letter from NAB's President and CEO will be issued to the academic institution. The letter will cite the specific breach from the list under "just cause" along with the evidence considered by the Education Committee in arriving at the vote to "proceed." The academic institution will have 30 calendar days to respond to NAB with a written plan of correction. The plan of correction must identify the "date certain" by which compliance has been achieved or will be achieved. The Education Committee's standing committee members will monitor the plan of correction. The length of the monitoring will be determined by majority vote of the Education Committee and will be communicated to the academic institution.
- ✓ **Second Notice of Non-Compliance:** A second notice of non-compliance will be issued if any of the following occur:
  - \* The academic institution fails to respond to the First Notice of Non-Compliance within the allotted time frame.
  - \* The Education Committee's standing members determine that the plan of correction submitted by the academic institution is insufficient to assure compliance.
  - \* While monitoring the plan of correction, they determine that the academic institution failed to achieve compliance by the "date certain" or failed to maintain compliance in accordance with the plan of correction.

A second notice of non-compliance will be sent by NAB's President and CEO, and the academic institution will be placed on probation for six months. The second notice of non-compliance will offer technical assistance from NAB in achieving and maintaining compliance.

- ✓ **Note of Withdrawal of NAB Accreditation:** Failure to achieve compliance before the end of probation will result in a recommendation to the NAB Board of Governors to withdraw accreditation. If the NAB Board of Governors votes to withdraw accreditation, NAB's President and CEO will send a Notice of Withdrawal to the academic institution, along with an order to cease and desist any claims of NAB accreditation.

- ✓ **Appeal Process:** The academic institution will have the opportunity for a written appeal. The appeal process will be outlined in the Notice of Withdrawal. The decision following any appeal will be final. If the withdrawal of accreditation is upheld following the appeal, and the academic institution wishes to regain NAB accreditation, they will follow the process of institutions who wish to seek initial NAB accreditation, paying all associated fees and conforming to appropriate site visits/guidelines.

## F. BUDGET AND FINANCE COMMITTEE

The Budget and Finance Committee confers with the Executive Committee and the NAB staff to determine anticipated income and expenditures for the following year.

It prepares a budget and submits it to the NAB President and CEO for inclusion with the 30-day Mid-Year Meeting announcement.

Each year, at the budget preparation meeting, the committee will recommend that a pro-rated sum be allocated to the budget to support the cost Professional Practice Analysis (PPA), which is conducted every five years. This money will be allocated from the income from examination sales.

The committee reviews policies and procedures governing income and expenditures. It makes recommendations to the Bylaws, Policies and Procedures Committee for its review and inclusion in proposals submitted to any Board of Governors meeting. These recommendations should reach the Bylaws Committee at least sixty (60) days prior to the Annual Meeting.

## G. CONTINUING EDUCATION COMMITTEE

The Continuing Education Committee oversees the National Continuing Education Review Service (NCERS), NAB's continuing education program, which reviews and approves thousands of continuing education programs offered by hundreds of providers across the country in accordance to [Chapter VIII: National Continuing Education Review Services](#) within these procedures document.

The committee also studies the changing needs for continuing education and makes recommendations for action to the Board of Governors.

## H. STATE GOVERNANCE AND REGULATORY ISSUES COMMITTEE

The State Governance and Regulatory Issues Committee is responsible for:

- ✓ identifying and disseminating information regarding national and state regulatory issues.
- ✓ developing and maintaining relationships with providers, trade and professional organizations, and government/regulatory agencies.
- ✓ collaborating with jurisdictions to share ideas and concerns relevant to new and existing national and state regulatory requirements.

The committee convenes a minimum of two times each year. Additional meetings can be scheduled, as appropriate, to carry out duties of the committee as outlined within the strategic plan. The committee addresses such disciplinary activities, as the chairperson and executive committee deem necessary and appropriate.

The committee chair reports on committee activities and requests approval from standing committee members for recommendations to go before the Board of Governors at both the NAB Annual and Mid-Year Meetings.

#### I. NOMINATING COMMITTEE

The immediate past chair serves as chair of the Nominating Committee.

Meetings may be held as necessary, and the slate of officers may be developed by mail, telephone, or virtual conference.

A single or double slate of nominees may be presented for one or all elective offices.

The committee looks at each nominee's leadership experience in NAB, and their vision for the organization in determining the slate of officers.

The committee presents a slate of officers NAB's President and CEO in time for it to be distributed to the membership sixty (60) days prior to the association's annual meeting in even numbered years. In the event a nominee(s) withdraws, the chair directs the committee to submit other nominees whose names are revealed.

#### J. MEMBER RELATIONS AND OUTREACH COMMITTEE

The committee convenes, as a minimum, twice a year. Additional meeting(s) may be scheduled as needed to carry out its duties as outlined within the NAB strategic plan.

The committee addresses such issues as marketing, membership engagement, development of a communications plan, identifying internal and external resource needs, and promotion of NAB's computer-based exam programs and other products and services.

The Member Relations and Outreach Committee also reviews all requests to publish material on behalf of NAB or those who wish to reference an affiliation to NAB to ensure that messaging is consistent and accurate. The Committee will review a draft of the material from the author(s) prior to submission to any publisher or printer. The committee will then forward their recommendations and edits to the author. A final draft will be reviewed by the committee prior to the Executive Committee's final approval.

The chair reports on committee activities at each Board of Governors meeting.

#### K. THE CREDENTIALING COMMISSION

The Credentialing Commission provides oversight to NAB's Health Services Executive (HSE™) qualification. As such, they are responsible for ensuring that HSE™ applicants meet the minimum standards and qualifications necessary to hold this designation. The members of the Credentialing Commission shall be comprised of a minimum of five (5) members, who represent the geographic diversity of the organization. The members and officers are appointed annually by the Chair of the NAB thirty (30) days after the conclusion of the Annual meetings for a two-year period of service. Those states who accept or are actively moving forward on acceptance of the HSE™ may forward the names of interested individuals to serve on the Commission, with all those vetted forwarded to the Chair, who makes the final appointment. Members may serve no more than three two (2)-year consecutive terms on the Commission. The Commission may, in the course of their work, request additional members to

assist in application reviews as volumes fluctuate. These Commission requests are forwarded to the NAB Chair for additional appointments as needed.

Credentials standards may be adopted, amended, or repealed by a majority vote of the Commissioners, with recommendation to the NAB Board of Governors for final action. The Commission has final authority on the HSE™ qualification decisions. NAB policy recommendations for the Credentialing Commission may be adopted, amended, or repealed by a majority vote of the appointed Commissioners, with recommended actions delivered to the Bylaws Committee a minimum of sixty (60) days prior to the Annual, Mid-Year, or Special meetings of the NAB. The Bylaws Committee will present policy these recommendations to the NAB Board of Governors for final action. The internal procedures governing the commission (*VI.K1 Credentialing Commission Internal Procedures*) may be adopted, amended, or repealed by a majority vote of Commissioners, with the proposed actions delivered to the Executive Committee for final action. Regular, verbal reports in addition to an annual association report shall be considered as a minimum requirement for communications to the Board of Governors.

The commission also provides oversight for NAB's voluntary third-party certification programs for Residential Care/Assisted Living Administrators (RCAL) and/or Certified Home and Community Based Services Administrators (HCBS). Once the commission has reviewed and approved a certification program to validate all criteria has been met, the organization will be authorized to use the RCAL and/or the HCBS examinations within their program. Only national and state non-profit associations representing providers and/or professionals across the continuum of senior living and health services administration are eligible to apply for this program.

The Commission shall meet a minimum of once each calendar year at a time and place to be determined by the Credentialing Commission chair in accordance with *VI.K1.SPD\_Credentialing Commission Internal Procedures*.

## L. *AD HOC* COMMITTEES

*Ad hoc* committees shall convene to carry out their duties as assigned by NAB's Chair or Board of Governors.

An *Ad hoc* committee shall address issues as:

- ✓ ethical violations
- ✓ conflict of interest allegations
- ✓ strategic planning
- ✓ other topics as requested by the NAB Chair or Board of Governors

The chair determines the number of members to serve on each *ad hoc* committee and appoints all members, except when designated in the bylaws, policies, and/or procedures.

The chair is responsible for appointing the *ad hoc* committee(s) leadership (e.g., chair/vice chair) and may add additional members as s/he deems advisable except as otherwise provided herein. The responsibilities of ad hoc committee members can be found in *VI.L1 Volunteer Roles within NAB*. Each committee meets at the annual meeting, at the November committee meetings, and at such other times, as needed.

## M. TASK FORCES

Task Forces are appointed by the Board of Governors or the NAB chair. The chair oversees the work of the task force or delegates the appropriate party for oversight as necessary.

Task forces utilize the authority as delegated by the chair or the Board of Governors to address specific problems as assigned.

Their report is made directly to the Board of Governors or to the chair as appropriate.

## N. MINUTES, REPORTS, AND RECOMMENDATIONS

It is the responsibility of the chair (*committee or board*) to ensure that there is a designated minute taker minutes for all official board, executive, and committee meetings. It is strongly recommended minutes are kept for any work groups and task force meetings as well.

All drafts of committee minutes are submitted to the chair for review and preliminary approval. These minutes are then included as part of a subsequent meeting binder and brought forward for formal approval by the designated standing, board, or executive committee members.

## VII. General Management

NAB's President and Chief Executive Officer (CEO) is responsible for establishing office procedures that ensures all association work is carried out promptly and economically.

When questions arise regarding general management, the President and CEO contacts the chair who has the authority to authorize the President & CEO to deal directly with other officers, committee chairs, and appropriate volunteers on specific problems of administration and/or information needed to carry out his duties.

## VIII. NAB Examinations Programs

NAB offers a variety of examinations services that member boards may take advantage of if they choose to do so. The organization is responsible for the development of four (4) national exams addressing entry level content along the senior living and health services continuum of care. When all four exams, which are the Core of General knowledge and three line of service specialty examinations (Nursing Home Administration, Resident Care Assisted Living Administration and Home and Community Based Services Management), are completed, a candidate would have a broad understanding of all areas across the care continuum.

NAB also offers member states the option to integrate their state-based examinations into NAB's national testing network to offer candidates choice when taking these examinations. For any member board or state/jurisdiction that would like more information about these services or others, please contact us at [nab@nabweb.org](mailto:nab@nabweb.org).

### A. EXAM DEVELOPMENT AND PRODUCTION PROCESS

NAB contracts with a 3<sup>rd</sup> party examination agency to mitigate security concerns as well as providing the most reliable, valid, and legally defensible exams as possible. This is typically a multi-year agreement. On an annual basis, NAB's President and CEO will, in collaboration with exam committee leadership, review the contract for services rendered and modifications needed. A minimum on nine (9) months prior to the contract termination date (*or renewal date for evergreen agreements*), The Examinations Committee,

in collaboration with the Executive Committee, will determine if NAB should issue a Request for Proposals (RFP) to ensure continuity of examination services.

The NAB Board of Governors shall approve a contract with a professional exam development agency for item bank development. Per the negotiated contract, NAB's third party exam development company may send representatives to each meeting of the Examinations Committee to serve as consultant as outlined.

The examination contract agency is not authorized to release any information relative to the NAB or state-based examinations, the applicants, or their scores without explicit authorization and direction, in writing, from NAB.

Item development begins with a thorough review of the NAB item bank by the chair and vice chairs. During this review, the respective subcommittee chair and vice chair will review questions in the test item bank to assess the number of questions needed in each domain. The subcommittee chair and vice chair will then assign item writers specific domains that will benefit from the additional test questions. This is all completed prior to the first question being written.

All examination questions and answers remain the sole property of NAB and cannot be copied or retained under any circumstance by any group, agency, or individual.

The final composition of each examination is the sole responsibility of the NAB Examinations Committee. The examination contract agency is authorized to make minor spelling and grammatical corrections after the committee has approved the examination.

NAB is not responsible for any expenses incurred by the examination contract agency, other than those stipulated by contract, unless prior approval is granted by the Board of Governors.

All examination files, including score reports, are securely filed (digitally or in paper form) for a minimum of thirty (30) years from the date the test was taken. File storage and security is the responsibility of the examination contract agency.

## B. EXAM SCORING AND REPORTING

The modified Angoff method is used by NAB to establish a recommended criterion-referenced score for all NAB examinations. The contract agency grades the examinations and transmits both the scaled and the raw score on each individual examination to the designated jurisdiction. While NAB recommends a passing scaled score of 113 for all NAB exams, it is the purview of each state/jurisdiction to set their own passing score should they choose to do so. While it is rare for states/jurisdictions to differentiate from the NAB recommended scaled score, it is prudent that candidates understand the rules regarding all licensure requirements within the state/jurisdiction in which they apply, inclusive of examination scoring. Appendix G *What Do NAB Scores Mean*, provides detailed information on how to read and interpret your test score reports.

NAB officers, staff and the examination contract agency protect confidentiality of test scores and data. Scores and data are released directly to the designated official state/jurisdictional agency only, except in cases where a duly licensed administrator authorizes the contract agency or NAB staff to certify his test

score by transferring it to a state/jurisdiction to which the administrator has applied for reciprocity or endorsement.

### C. SCORE TRANSFERS

For those administrators who plan to seek licensure in multiple states, a score transfer directly from NAB will likely be needed<sup>3</sup>. To initiate a score transfer, please visit the NAB website at [www.nabweb.org](http://www.nabweb.org) choosing the option to send your scores to a new state. Once you have successfully logged in after it has prompted you to do so, complete the requested information along with the fees and submit. Score transfers may take up to ten (10) business days to complete.

While NAB has retained most scores throughout the past 30 years, scores cannot be guaranteed until transferred. Prior to 1988, NAB only administered the national licensing exam for a portion of licensed nursing home administrators and has used various 3<sup>rd</sup> party testing companies since this time. In the unlikely event that NAB no longer has or is not able to locate your historical examination score information, the following process will be followed.

- a. Once it has been determined that the score is not present in the existing NABVerify examination application system, the archives will be searched to determine if a “paper” copy (*digitized in 2023 and put into secure servers*) can be located.
- b. If unsuccessful, NAB staff will reach out to the applicant’s most recent state of licensure to determine if they have retained any records of archived examination scores for the named individual. If unsuccessful and the individual is currently (or has been previously) licensed in other states, the process will be followed with subsequent states.
- c. If unable to locate the score, NAB will fully refund the score transfer fee, following up with the letter from NAB’s President and CEO (Appendix F Examination Scores) for the applicant to submit to the state for review when considering the candidate for licensure.

### D. EXAMINATION CHALLENGE REVIEW

NAB candidates have the right to request a review of their examination should they ascertain one or more questions presented within the exam may be incorrect. NAB’s third party contract agency will complete a thorough review of the examination, verifying answers are as presented by the NAB subject matter experts (SMEs). Should a question arise during this review, the NAB examination committee will be consulted.

If it is determined during the challenge review that an item is incorrect the contracting agency will:

- a. Immediately report the items to both the Examinations Committee chair as well as the respective line of service subcommittee chair.
- b. The line of service subcommittee chair will assign a minimum of three qualified committee members to review the item(s).

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<sup>3</sup> For those administrators who hold the HSE™ qualification and are transferring to one of the 26 states that currently accept this qualification, you will need to transfer only your updated application and not your test scores.



- c. If the item is determined to be incorrect, it will then be reported to the NAB Executive Committee accompanied with a report from the examining contract agency identifying other examinee(s) that may have been affected within the last cycle period of the examination.
- d. The Executive Committee will review all information and make the final determination in the challenge and if a change is necessary, will instruct the Examinations Committee and the examining contract agency to make necessary changes to anyone affected.

If a challenged item is not founded, a letter to the examinee will be drafted by the Examinations Committee chair and sent to both the examining contract agency and the NAB chairperson for approval and dissemination.

## E. EXAMINATION STATEMENT OF CONFIDENTIALITY

The process on how complaints regarding alleged violations of the examination statement of confidentiality will be handled is as follows:

- a. Facts will be compiled by NAB staff and presented to the Examination Committee chair and applicable subcommittee chair(s) to determine if the complaint is substantive enough to subject the respondent to disciplinary action or to dismiss the complaint. If the complaint has merit, the candidate will be provided written notice of the complaint, advised of the general process to be followed (*as outlined in the Information for Candidates Handbook*) and informed about potential sanctions (*e.g. cancellation of scores, reprimand, suspension of the opportunity to retake the exam for a certain time, or revocation of the right to retake the exam*) and the opportunity to respond and provide additional information to be considered by NAB within a certain time frame (30 days).
- b. The complaint will be referred to an ad hoc complaint investigation task force. The complaint investigation task force would be comprised of the Examinations Committee chair, the applicable subcommittee chair or vice chair, and one additional standing member of any on the examinations' subcommittees. The task force will investigate the complaint including consultation with the testing agency to determine the impact of the disclosure. The task force is authorized to conduct interviews as needed including interviewing the respondent by conference call. The task force would determine whether a violation occurred and if a determination is made that a violation occurred, the task force will recommend a sanction.
- c. Written notification of the task force's findings, determination, and recommendation for sanction (if determination of a violation was made) will be provided to the respondent and to the NAB Executive Committee. If a sanction is recommended, the respondent will have 30 days to provide a written response for consideration by the Executive Committee. The Executive Committee will render its decision in writing to the candidate. If a sanction is imposed, the respondent will be advised of the appeal process. If no appeal is received within the time frame provided (30 days), the decision of the Executive Committee will be final.
- d. If sanctions are imposed and the respondent appeals, an ad hoc appeal task force will be convened. This task force will be comprised of three members of the examinations subcommittees that were not involved in the initial review. The respondent's appeal must be in writing. The grounds for appeal are limited to claims of factual or procedural errors in determining that a violation occurred. The sanction is not subject to appeal. The decision of the appeals task force is final.

## F. BIBLIOGRAPHY/RECOMMENDED REFERENCES LIST

A bibliography should be easily accessible for candidates eligible for all NAB examinations.

All examination questions must come from one or more references listed on the applicable examination bibliography.

Each bibliography must be kept current and reviewed on an annual basis by the Examinations Committee and/or the appropriate subcommittee to ensure accuracy and relevancy of the reference materials.

The Examinations Committee chair along with the subcommittee chairs are responsible for ensuring all references are current, and that all test questions are referenced appropriately from one or more resources found on the approved bibliography for their specified exam. The Examinations Committee chair and subcommittee chairs will annually evaluate the approved references on which examination items are based on and recommend additions of new references or deletions of obsolete references to the bibliography.

All approved texts on the bibliographies must be approved by the Examinations Committee and the NAB Executive Committee. Once approved, the reference shall be assigned a three-digit reference number by the contract testing agency that uniquely identifies that text and publication date of the material.

If a previously approved text is removed from a bibliography, then any questions written from that text must not be used until the questions have been re-referenced to an approved bibliography text.

A thorough review of each exam bibliography should be conducted on an annual basis to ensure that current and accurate references are being utilized to develop all NAB exams. The bibliographies are reviewed by the Examinations Committee Chair and Vice Chair in collaboration with the LOS Subcommittee Chairs and Vice Chairs. It is recommended that texts used to reference thirty percent (30%) or less of the questions within the NAB Examinations item bank remain on the bibliography for a maximum of five years unless an updated edition is released.

Those texts which have more than thirty percent (30%) of the NAB item bank questions referenced should remain on the bibliography regardless of time. If the reference becomes outdated and a new edition is not released, it is to remain on the bibliography until such a time a comparable reference is located.

If a text on the bibliography is referenced to five percent (5%) or less of the questions within a specific NAB examination item bank, discussion of reference need or reasonings behind low reference percentages should occur. If strong reasonings or needs are not identified, the reference should be removed from that specific examination bibliography, removing or rereferencing all questions within the item bank associated with that specified resource.

Any changes to the NAB Examinations Bibliographies, including addition of new references, removal of existing references and updating to newer editions, must be recommended by the Examinations Committee Chair, and submitted to their NAB staff liaison. The staff liaison will prepare this to be reviewed and approved by the NAB Executive Committee, either during their next in-person meeting or through e-vote. Proposed changes will include a start date for use by the exam

committee(s) and a publication date for use by exam candidates in the [NAB Candidate Handbook](#). Upon approval by the NAB Executive Committee, NAB staff will inform the examinations contract agency representative in addition to ensuring that the [NAB Candidate Handbook](#) is updated at the appropriate time for candidates to begin use of the updated bibliography.

Assigned reference numbers are one-time use and will not be used again should a reference be removed from the list.

## G. PRACTICE EXAMINATION(S)

The Examinations Committee develops practice items to reflect questions as they would appear on the CORE examinations and each respective subcommittee develops practice questions for the line of service examination they oversee. The practice examinations should be reviewed and updated at least every three years to ensure accuracy and validity.

## IX. National Continuing Education Review Service (NCERS)

The NAB National Continuing Education Review Service (NCERS) reviews and approves hundreds of continuing education programs on a yearly basis, all of which are offered by CE provider members of NAB. Programs approved by NAB are accepted by licensing and certification boards from across the country and are eligible for credits across the continuum of senior living and health services administration.

### A. CE SPONSOR MEMBERS

Currently, NAB has three types of CE provider memberships: Standard provider, Corporate 10 provider, and Corporate Unlimited provider. All organizations, non-profits, and corporations who wish to offer NAB CE credits to senior living and health services professionals must first become a sponsor member of NAB. Each membership type is described below:

- ✓ **Annual Standard Provider** – Suitable to those organizations (corporate or nonprofit) who do not hold any closed or private programs.
- ✓ **Annual Corporate Ten Provider** - Suitable to those organizations (corporate or nonprofit) who provides both private and public programs. This membership only allows 10 private program submissions.
- ✓ **Annual Corporate Unlimited Provider** – Suitable to those organizations (corporate or nonprofit) who provides both private and public programs. This membership allows unlimited private program submissions.

While membership is required, it is important to note that pricing **DOES NOT** include any of your program fees. Program fees are charged individually for each course upon submission for review.

Prior to providers submitting a program, NAB strongly recommends that individuals who will be involved in the planning and execution of the educational programming thoroughly review the NCERS program materials as outlined within *VIII.A1 The CE Provider User Guide*. This guide contains crucial information related to program submissions, attendance monitoring, and reporting CE credits. Yearly

provider fees must be paid, and an account must be active before a corporation/organization can submit any programs for review and/or receive an approval.

## B. CERTIFIED SPONSOR MEMBERS

After a minimum of two years of provider membership, those organizations/corporations in good standing with NAB may be eligible to apply for certified provider member status. Certified provider members have exclusive program benefits enabling them to bring their customers just in time education without incurring hefty late fees. New and renewal certified sponsor applications are reviewed bi-annually by NAB's Continuing Education committee during the NAB Annual and Mid-Year Meetings. During initial application reviews, those affiliated with the company up for consideration will be asked to step out during the discussion and vote to prevent any conflict of interest from influencing the review process.

Once approved, the Certified provider must sign *VIII.B1 The NAB/NCERS Certified Provider Agreement* and agree to comply with NAB procedures in within this section of the NAB procedure as well as within *VIII.A1 The CE Provider User Guide* before this status will be activated in their account. Those providers who obtain and renew their certified status can submit continuing education programs (*In Person and/or Distance Learning*) for review three (3) days prior to the requested approval start date of the program prior to a late fee being assessed.

Should a certified provider violate any of the outlined items in within the document listed, their status may be subject to a temporary suspension and/or permanent cancellation (*with the option to reapply after 2 years*) after review by the Continuing Education Committee chair. For time sensitive or egregious violations, the NAB Executive Committee has the authority to temporarily suspend certified provider status until such time the CE Committee can convene for a vote on final action.

Certified providers must renew their status every five (5) years except for initial approval in which the renewal must be completed within three (3) years of status being awarded.

## C. NAB PROGRAM REVIEWERS

To ensure programs that are approved for NAB continuing education (CE) credit provide quality educational content applicable to those professionals practicing across the health services and supports continuum, all programs submitted by standard provider members of NAB undergo a rigorous review by three subject matter experts (SMEs) from a pool of our NAB program reviewers.

Those interested in serving as a NAB CE reviewer need to confirm that s/he meets and agrees to the terms outlined in *VIII.C1 NCERS Reviewer Job Description*. Once this has been confirmed, individuals must apply and are appointed by the chair of the Continuing Education (CE) Committee.

Each reviewer is appointed to a five (5) year initial term. Reviewers who are in good standing with NAB at the conclusion of their term may be reappointed to serve three (3) additional five (5) year terms if a need exists. All reviewer terms begin on January 1st of each year and will conclude on December 31 of the 5th year. SMEs interested in an initial appointment as a NAB reviewer as well as those reviewers interested in reappointment are required to submit the appropriate documentation on or before October 1<sup>st</sup> of the year in which their term expires or the October prior to when they plan to begin in the subsequent January.

Both reviewer initial appointments as well as reappointments are made considering both individual and geographic diversity along with validation of qualification and past performance on job duties/responsibilities as a NAB volunteer.

#### D. REVIEWER TRAINING

Reviewers must complete the NCERS reviewer orientation either through an in-person meeting or through a live web conference prior to being assigned to review CE programs. This orientation is facilitated by the NAB staff liaison, in collaboration with the Continuing Education Committee chair and vice chair. The orientation will review processes, methods, and deadlines, as well as other pertinent matters that are crucial parts of the CE review process.

In addition to the initial reviewer orientation, all NCERS reviewers will meet, at minimum, every 2 years in person or virtually to discuss current processes, methods, and other matters in relation to NAB updates/changes.

#### E. PROGRAM REVIEW PROCESS

Standard providers must submit program applications to NAB within forty-five (45) calendar days from their initial program start date. If less than 45 days, a late fee will be incurred and is required to be paid before a program will be reviewed (For an in-depth review on CE application submission requirements, please review *VII.A1 The CE Provider User Guide*).

All NAB CE Program applications are assessed by three (3) independently trained reviewers who are subject matter experts (SMEs) in the field of senior living and health services administration. All reviewer decisions are submitted through NAB*Verify*, which is the software system that hosts NAB's CE program applications, within fourteen (14) calendar days from the date assigned. If program reviews have not been completed by the assigned due date, NAB staff will reassign the program to another available reviewer as necessary. If the NAB review process has not been completed prior to program advertising and/or the program offering date, the provider must inform the participants that "NAB approval is pending and is not assured".

Program applications can be fully approved, partially approved, or denied, each of which is described in detail below.

##### ***Full Program Approval***

For a program to be approved, consensus must be reached among a total of three (3) qualified NAB program reviewers/SMEs. If consensus of approval is not reached from the three original reviewers, up to two (2) additional reviewers may be assigned as needed. A total of three SMEs must reach consensus on all programs. Otherwise, the program will be denied.

Once the application review is complete and the program has been fully approved by the requisite number of SMEs, a notification is sent to the provider via an automatic email from the NCERS system. The provider must follow all guidelines listed within *VIII.A1 The CE Provider User Guide* upon receiving the approval. Each program, along with all additional program sites, will have their own unique CE approval number. All providers must use the correct number that corresponds with the date and location of the event in which the licensee is reporting for CE credits. Additional program sites must be submitted through the NAB system to receive a unique approval number. If a site is not submitted to the NCERS system prior to the scheduled start date, providers will be subject to a

\$100 additional site late fee. NAB hosts a public directory of all approved CE programs available to the public once approval is granted by NAB. This directory includes:

- ✓ The name of the program.
- ✓ CE hours that are available to be earned.
- ✓ Presentation date(s) and location(s) where the program will be offered.
- ✓ The NAB approval number.
- ✓ The name and telephone number of the sponsor offering the program appears on the NAB web site in the NCERS CE Database of approved programs.

### ***Partial Program Approval***

Partial approval is awarded when a total of three reviewers (*original or an additional two assigned*) reach consensus that the hours requested are not valid and should be lowered. To grant partial approval, each reviewer must provide sound, valid reasoning behind their decision-making. If valid, defensible reasoning is provided, NAB staff will award partial approval in addition to contacting the provider through written communication explaining the decision. Providers may appeal any partial approval decision if they have information that may address the concerns brought forth by the reviewers. The provider will have 30 days from the notification date to submit an appeal and additional information to NAB regarding why the program should be approved in its entirety. Programs will not be reviewed for full approval without additional information submitted. Program appeals are evaluated by those reviewers who originally awarded the partial credit to assess if the new information provided includes sufficient information to grant the full approval of the total requested hours. If consensus is that the additional information is sufficient to award full credit, the program will be modified to reflect this decision. If consensus remains that the partial approval should stand, the decision is final, and the program stands approved for the partial hours.

If reviewers disagree on whether the new information provided within the appeal is sufficient to warrant full approval, then up to two (2) additional reviewers may be assigned to review the program. The program must have three reviewers reach consensus for a program decision to be made. If consensus is not reached as described above, the program will be denied.

### ***Program Denial***

A program denial occurs when a total of three reviewers (*original or an additional two assigned*) reach consensus that the hours requested, or the program content described is not applicable to the profession. When a program is actively being reviewed, NAB strongly encourages reviewers to collaborate with their fellow SMEs, especially with applications where concerns are raised. Prior to a reviewer submitting a program denial decision, they are responsible to communicate this decision to their colleagues along with any deciding factors which led to the final recommendation.

Once consensus is reached by a minimum of three reviewers (*original or an additional two assigned*) and the program has been denied, NAB staff will provide a letter to the CE provider notifying them of the program denial along with the reasoning behind the decision made. This letter will also outline the appeal process that may be made by the provider if they choose to do so. All appeals of program denials must be made within 30 days of the notification date. Appeals must be in writing and include additional information which justifies further review. Denied programs submitted for appeal will not be reviewed a second time without additional information submitted.

## Appeals Process

Programs that have been partially approved or denied are eligible for appeal should additional and/or new information become available that would warrant an additional SME review. Once the appeal is submitted, an Appeals Panel is appointed. This consists of three current NCERS Reviewers from a selected pool and does not include those SMEs who originally denied the program. The appeal will be limited to a review of the original process and materials along with any new information that was provided to ensure that the program denial was objective, based on meeting approval criteria, and was made in a fair and unbiased manner. Legal counsel for providers is not generally permitted. The Appeals Panel may consult NAB legal counsel, as needed. The Appeals Panel will consider only facts and conditions existing up to and including the time the denial was made along with new information provided as part of the appeal process. Should they choose representatives of an appealing provider organization may request to appear before the Appeals Panel. These meetings are primarily conducted through a web conference format and will be scheduled as the Appeals Panel volunteers are available. Approval to appear before the Appeals Panel is at the sole discretion of NAB and is typically determined by a majority vote of the members.

The Appeals Panel may vote to affirm, modify, or reverse the original recommendation regarding the program under review. All decisions of this panel will be made by majority vote of its members and decisions will be communicated through the NCERS online review system (60) days of the receipt of notice of the appeal from the sponsor. The decision will include the Appeal Panel's determination, any recommendations, and its rationale for both. All decisions made by the Appeals Panel are considered final. There is no charge for an appeal review since these are only held in a web conference format.

## F. LATE FEES

Standard providers who submit programs less than forty-five (45) calendar days from their program start day will incur a late fee in addition to total program fees due. It is important to note that the payment of late fees will not expedite the review process. For more information, on compliance procedures, schedule of dues, rates, and fees, please review the document *VIII.A1 The CE Provider User Guide*.

Late fees may only be waived by NAB's President and CEO in collaboration with the CE Committee Chair should a significant need arise. All late fee waiver requests must be approved in advance and only one waiver per provider will be authorized throughout the CE provider's lifetime membership tenure. Late fees may be waived in situations such as:

- ✓ A sudden change in federal and/or state regulations.
- ✓ A major disruption in business operations due to a natural disaster.
- ✓ A new provider member who does was unaware of NAB policies.

For more information regarding NCERS late fees or overall program fees, please review [Chapter IX, Financial Management Section C, Rate Sheet/Schedule of Dues](#).

## G. Program Renewals

A provider has the option to renew a program that has been previously approved. Renewals do not typically require the same rigorous process as initial program reviews. For renewal, NAB staff will



perform a review to confirm that the program still meets NAB's CE guidelines. Once approved the program will be issued a new approval number.

Should a provider choose to renew a program, the following criteria is allowed to be altered upon renewal:

- ✓ Program name
- ✓ Speakers can change; however, the Sponsor must provide the required speaker information in the speakers' profile.
- ✓ If the program is in-person, the location of the program may be changed.
- ✓ **Programs approved prior to 2022:** Domains of Practice will be required to be updated to the current 2020 list to maintain program accuracy.

Should any other changes be needed (*e.g., program and/or session content changes within the agenda*), this program will follow the same process as a new program submission in lieu of a renewal. The provider agrees to pay the necessary fees associated with a program renewal.

#### H. CE Course Complaints

Programs are approved for a 12-month period based on the requested approval start date. All NAB CE providers must publicize the NAB email address [cecomments@nabweb.org](mailto:cecomments@nabweb.org) to their program attendees to give them the option of providing feedback to the NCERS staff liaison regarding programs that are held.

If NAB receives a provider compliance complaint or any type of feedback from an attendee or any other individual regarding the provider not following NAB procedures, the following will occur:

- ✓ The NCERS staff liaison will assign a reviewer(s) to monitor a program offered by the reported provider. If the reviewer finds the concern(s) are valid, or identifies other concern related to noncompliance then the provider will receive:
  - \* **A First Notice** – A letter from the NCERS staff liaison stating the concern(s) and, if applicable, the monitor's review of the program. The provider will have 30 days to respond regarding their action plans to remediate the concerns addressed.
  - \* **A Second Notice** – If after 30 days, the concern has not been corrected, the provider will receive a second notice from NAB's President and CEO communicating that their organizations/corporation's status as a NAB provider membership will be suspended until such time an action plan is received (and approved) on how the issue will be remediated. During this membership suspension, the provider will be unable to grant CE credit for any approved programs. If a response and remediation action plan is not received within a 30-day timeframe, the final notice will be sent.
  - \* **Final Notice** – If after the additional 30-day period the concern(s) has not been remediated, the organization/corporation's status as a NAB provider of CE will be revoked. If the sponsor wants to be reinstated, they will need to submit a written appeal that the concern(s) has been remediated to the Continuing Education Committee for reinstatement. If approved, a new membership application would need to be submitted along with requisite payments.  
***Please note that any provider whose membership is revoked and has a certified status***



***within NAB's CE program would be approved at a standard provider level. Eligibility for certified sponsor status would be available after they meet the certified applicant criteria.***

Once the correction(s) have been made, the NCERS staff liaison will notify the provider that their status is in good standing. If necessary, a monitor will review upcoming programs to make sure the provider is complying. If a pattern of non-compliance is established with a provider's programs, their status may be subject to the same process as described above.

Clock hours of continuing education may be granted to participants of the NAB Annual and Mid-Year meetings general session if the content meets the NCERS guidelines as outlined in *VIII.A1 The CE Provider User Guide*. Additional continuing education may also be granted for other NAB activities as long a request is submitted by a committee chair, approved by the Executive Committee, and meets NCERS guidelines as noted above.

## **I. NAB CE SPONSOR MEMBER TYPES AND CRITERIA**

To become a NAB provider member, organizations and/or corporations must be reputable in their field of expertise related to the subject presented and associated with any of the following:

- ✓ Accredited educational institutions;
- ✓ Recognized professional or trade associations; or
- ✓ Other legitimate organizational entities capable of conducting adult continuing education.

Currently NAB has four types of membership within our National Continuing Education Review Service Program (NCERS): Academic Provider, Certified Provider, Corporate Provider, and Standard Provider. Below lists the unique qualifying criteria for each membership type.

### ***Academic Provider Membership***

This membership is granted upon request to HSE™ Accredited Colleges and Universities who wish to submit CE programs. The annual membership fee for these accredited programs in good standing will be waived.

Academic Sponsors must comply fully with the NCERS criteria for continuing education. Current academic programs accredited by NAB can apply for certified sponsor status if they have been a proven sponsor of continuing education under the NCERS program for at least two years and have submitted a minimum of ten programs for review.

### ***Certified Provider Membership***

This membership is granted to those who have been a proven provider of continuing education under NAB's NCERS program. Certified provider members must be reputable in the field of senior living and health services administration and select speakers who have demonstrated expertise related to the subject material they are presenting about. Certified provider members are also required to be associated with any of the following:

- ✓ an accredited educational institution,
- ✓ a recognized professional or trade association or
- ✓ other legitimate entities capable of conducting adult continuing education.

To be eligible to apply for certified provider status, CE members must:

- ✓ have been a proven sponsor of continuing education under the NCERS for at least two (2) years.
- ✓ have submitted a minimum of ten programs for review.
- ✓ have complied fully with the NAB's NCERS criteria for continuing education as outlined in *VIII.A1 The CE Provider User Guide*.

Once the Continuing Education Committee has approved the provider's application, they must complete and sign *VIII.B1. The NAB\_NCERS Certified Provider Agreement* which sets forth the stipulations for continued approval.

Certified providers are to pay the fees required for a program to be submitted, but only have to enter limited program information within the application necessary for a broad program review. Information required to submit with a program application is as follows:

- ✓ Speaker Information: Only required to enter speaker's first and last name.
- ✓ Program Detail: Only required to enter data in fields that are indicated as required.
- ✓ Distance Learning: Pre and Post Test Questions and the PDF or Word Document for Web-based programs are not required to be submitted.

Certified provider's programs are not required to be reviewed by NAB SME reviewers. These programs will be reviewed by an NCERS staff liaison to confirm it meets all NAB CE guidelines. Once confirmed, the program will be approved.

### **Corporate Provider Membership**

This membership is for providers that would like to submit program application(s) for review (*approval*) that are not open for public registration. Corporate providers may also submit program applications that are open to the public. Those companies/organizations wishing to become corporate providers must pay the corporate membership fee. NAB offers two corporate membership types: Corporate 10 and Corporate Unlimited.

### **Standard Provider Membership**

This membership is for providers that would like to submit program application(s) for review (*approval*) that are open for public registration. Those companies/organizations wishing to become a Standard provider must pay the Standard membership fee.

## **J. CRITERIA FOR CONTINUING EDUCATION PROGRAMS**

Criteria for NAB's continuing education programs can be found listed below as well as within the *VIII.A1 The CE Provider User Guide*. The number of In-Person and Distance Learning program hours eligible for license renewal shall be determined by each respective state licensing board. It is the responsibility of the licensee to verify with their state board how many hours are required for licensure renewal and if these are restricted to in person or unrestricted on types of credits that may be earned.

All subject matter submitted for approval for NAB CE credits must:

- ✓ relate to senior living and health services.

- ✓ be designed to promote continued knowledge, skills, and attitudes consistent with current standards in senior living and health services.
- ✓ assist in the improvement of professional competencies.
- ✓ focus on topics educational in nature, and not deal with internal affairs of an organization, which do not qualify for credit.

All NAB approved CE programs must have detailed learning objectives/competencies to be mastered. The following criteria should be followed. Learning objectives/competencies must:

- ✓ be reasonable and clearly stated.
- ✓ be stated in behavioral terms, defining the expected outcomes for participants.
- ✓ demonstrate the consistency of content (*objectives*).
- ✓ identify mechanisms by which learning objectives/competencies are shared with participants.

All CE programs that are NAB approved and open to the public to attend can be found within the [NAB CE Directory](#). It is up to the discretion of the company hosting the educational event to set the registration fees offer for all programs for which they seek approval. Should a registration fee be charged for a CE program, the following information is required:

- ✓ Rates must be published clearly on all promotional material.
- ✓ Rates must recognize reasonable differences between member and non-member fees, if applicable.

### ***Speaker Management and Program Evaluations***

Program speakers/presenters must have experience on the subject matter being presented in addition to insight into educational and instructional methods for adult learners.

All programs that are granted NAB approval are required to utilize an evaluation tool. While NAB does not collect these as part of their program application process, these can be requested for review for auditing purposes and are required to be submitted as part of the certified provider application process. The following guidelines should be followed when developing a program evaluation tool:

- ✓ An evaluation must be provided to each program participant.
- ✓ While an evaluation is required and should be provided to each course attendee, they may choose whether to complete it or not. CE may not be withheld due to an incomplete evaluation.
- ✓ Data from program evaluations should be kept for at least 2 years in case of an audit and or the sponsor wishes to apply for certified provider status.
- ✓ All sponsors are required to publicize the NAB email address [cecomments@nabweb.org](mailto:cecomments@nabweb.org) to attendees for the purpose of feedback to NAB regarding all programs that are held.

### ***Attendance Reporting***

In 2018, NAB launched the first ever national Continuing Education (CE) Registry for use by administrators across the country. Since March 2018, NAB CE providers are required to report course attendance to NAB's CE Registry within 30 days of course completion. Providers who do not report attendance in a timely manner will face reinstatement fees and/or suspension.

When reporting attendance, it is crucial to record attendance in an accurate manner. While NAB, as part of the application process, approves the monitoring procedure for each program, it is the provider's responsibility to validate CE credits are only given for the time the attendee was present for the educational event.

Sponsors may individually report attendance, or they may utilize the NAB template to report CE credits in bulk. When reporting CE credits, the following information is needed:

- ✓ NAB Program Approval Number
- ✓ Program Completion Date
- ✓ Participant Hours Earned
- ✓ NAB ID Number
- ✓ First/Last Name

The Sponsor may also or provide "Certificate" to each participant who is not licensed or certified by a NAB member board and scores a 70% or better on the post-test<sup>4</sup>. If a sponsor chooses to issue certificates outside of the CE Registry, attendance records must be kept for a period of two years.

Once attendance is recorded, a certificate can be automatically generated by the attendee, which will include number of CE credits awarded along with the NAB approval number.

### ***Calculation of Program Instructional hours***

All approved NAB CE approvals are based up clock hours. All programs, both distance learning and in person are calculated with 60 minutes = 1 clock hour or 1 CE. To be awarded NAB CE credits, the following guidelines should be followed:

- ✓ Breaks are included throughout a program agenda. While breaks are not CE eligible, a 15-minute break must be offered for every two (2) hours of CE credits offered. Should the program exceed a half-day (*more than 4 clock hours*), a 30-minute meal break must be offered.
- ✓ A detailed time schedule needs to be identified on program materials and in the NAB application.
- ✓ It is strongly suggested that in person programs be a minimum of two hours in length and distance learning programs should be a minimum of one hour in length.
- ✓ In person programs may not exceed eight hours and distance learning (web-Based) programs may not exceed twelve hours maximum per day. Multi-day conference and self-studies which exceed this limit are permitted as long as the CE provider can demonstrate learning occurred over several days.
- ✓ Each session cannot be longer than two hours without a break for in-person and live distance learning programs.
- ✓ No credit will be issued for attendees attending a tradeshow or exhibit halls.

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<sup>4</sup> While it is mandatory to report CEs for all administrators who are licensed by a NAB member board, individuals who want to obtain NAB credit and are not licensed by one of these member boards may access the CE Registry by paying an annual subscription fee or obtaining a CE certificate directly from the educational provider.

Approximately one percent of the continuing education offerings will be monitored annually. However, NAB reserves the right to monitor any or all approved programs.

### ***Additional Criteria for Distance Learning Programs***

NAB offers five different media formats that providers may choose to submit as a distance learning program. However, only one may be selected for a program submission. Please note that most states still categorize live web events as a distance learning course, therefore it will count towards hours limitations.

- ✓ Printed Material (*self-study*)
- ✓ Web-based/Pre-recorded Webinar (*self-study*)
- ✓ Digital Media (*self-study*)
- ✓ Live Webinar/Teleconference (*live web event*)
- ✓ Virtual Conference (*live web event*)

Each Distance Learning media type is defined within the *VIII.A1 CE Provider User Guide*.

Post-Tests are required for those providers who offer self-study distance learning programs. Providers are required to have a minimum of five (5) questions per one (1) CE credit hour approved. Participants should receive a grade of 70% or higher to pass and receive credits for the course. Post tests should be graded by the provider, not the learner.

### ***Program/Participant Hours***

The program provider is responsible for describing the method/rationale utilized for determining the CE requested for NAB to approve.

For Web-Based/Pre-Recorded webinars and some digital media programs, providers calculate the CE requested based on the course run time. The calculation is one CE = 60 minutes run time. Additional credits will be calculated into the course credits automatically to account for time to complete the posttest. If required, round down to the nearest quarter hour.

For Printed Material and some Digital media self-study programs, NAB requires CE credits based on the documented word count using the following calculations: 12,000 words equals 1 credit hour (3,000 words equals .25 credit hours). Additional credits will be calculated into the course credits automatically to account for time to complete the posttest. If required, round down to the nearest quarter hour.

For in person conferences, live webinars, and virtual conference, credits are calculated on the estimated length of the sessions making up the event. For conferences (*virtual or in-person*) that have multiple program tracts, CE sponsors should provide total program and participant hours.

- ✓ **Total Program Hours** - Total program hours are a summation of all hours of education content. All breakout session hours are counted separately (*e.g. a program with 5 sessions held from 8 am – 9 am would be 5 total program hours.*)
- ✓ **Participant Hours** - Participant hours are the maximum number of educational hours any one participant can attend. If you have breakout sessions, only one of these courses is counted in

participant hours (*e.g. a program with 5 sessions held from 8 am – 9 am would be 1 participant hour.*)

### **CE Registry**

The CE registry can be accessed by those NAB member boards who are in good standing to verify CEs earned for licensure renewal. Access to NAB's CE Registry is complimentary to anyone who has a license or certificate issued by a NAB member board. Individuals who are not licensed or certified by a NAB member board may use the CE Registry for a yearly access fee.

While licensees may report both NAB and non-NAB CE credits to the CE registry, the NAB approved CE credits are the only ones required to be reported. Should these credits show as self-reported by an administrator, the correct NAB ID number was not provided to the provider within 45 days of the course completion date or the course was completed less than 30 days prior, which is the deadline for required reporting.

## **IX. Financial Management**

### **A. BUDGETING**

Prior to the NAB Mid-Year Meeting, staff prepare and submit the first draft of the budget to the Budget and Finance Committee for the first draft review.

Once suggestions have been implemented by this committee, the Executive Committee will view the budget for suggestions and comments.

After all suggestions have been incorporated from the Budget and Finance Committee and the Executive Committee, a final review of the draft budget is conducted prior to dissemination to the Board of Governors. The final draft budget is distributed a minimum of thirty (30) days prior to the Board of Governors Meeting scheduled to be held during the yearly Mid-Year meeting. The budget should be disseminated to each active, governing member of NAB based on the most current contact information that is on file.

Committee budgets (*including the executive committee*) are inclusive of all travel expenses for their respective chairs, as well as other approved positions that are funded through NAB. The funds will not be budgeted as a Board of Governors meeting expense. The annual budget is submitted to the Board of Governors at its Mid-Year meeting for approval.

### **Budget Line-Item Transfers**

Upon consensus among the NAB Chair, Treasurer, and the Budget and Finance Committee, funds may be transferred from one activity to another activity within a major functional area if they are already included within the fiscal year's budget.

Should a need arise to transfer budgeted funds from one major functional area to another, Executive committee action is required to authorize this type of transfer. This authority does not apply to emergency fund accounts such as reserves, exam security, etc. designated for specific purposes or programs. Only the Board of Governors can authorize the utilization of such emergency funds.

### **Chair's Contingency**

A line item "Contingency" is included in the budget. These funds may be used at the chair's discretion for the benefit of the association.

### **A. BANKING**

Investment Accounts – Excess funds from operations and reserve funds are deposited in a federally insured interest-bearing account (e.g., *treasury bills, certificates of deposit*). This type of account may be changed as appropriate to maximize interest income. The President and CEO may transfer excess operating funds to and from the investment accounts to the checking account as necessary to meet operational disbursements and maximize interest income. Transfer or use of reserve funds requires the approval of the NAB Board of Governors.

Deposits - NAB income is deposited in a federally insured interest-bearing account.

Checking Account - A checking account is maintained for deposits and disbursements. To earn maximum interest income, funds are transferred from the investment accounts to the checking account only when needed for disbursements; a reasonable working balance is otherwise maintained in the checking account. The type of account may be changed as appropriate to maximize interest income. Deposits are made at least twice weekly except in cases where the daily income account exceeds \$5000.00. In situations such as these, a deposit is made that day. Signatories on the checking account shall be the organization's Chair, the Treasurer, the President and CEO and two members of the contracted association management companies' senior management team. Per the NAB financial control policy, two signatures are required on checks.

A four-part check system is used to pay invoices from the NAB checking account and are distributed as follows:

- ✓ The original copy is disseminated to the payee.
- ✓ Copy one (1) is saved and stored as a part of the numeric file.
- ✓ Copy two (2) is stored with attachments in alphabetical sequence by payee.
- ✓ Copy three (3) accompanies the request for funds transfer.
- ✓ Voided checks are retained as part of the numeric file.

Disbursement of Funds - To disburse funds from the checking account, staff prepare a Cash Report. This report consists of a listing of entities to be paid, the corresponding amount due, current checking and deposit or account balances, and amount to be paid. Invoices for each entity to be paid and a copy of the check voucher must accompany all funds disbursement requests. Prior to submission, NAB's President and CEO reviews and signs each invoice. Once the President and CEO has completed their sign off, NAB's Treasurer will be sent the Cash Report and copies of invoices electronically and will indicate their approval electronically. Check vouchers may be signed by the NAB President and CEO, chair, chair-elect or treasurer. If the treasurer has any questions or notes any discrepancies in the funds cash report or accompanying documents, he/she will notify the NAB President and CEO immediately for appropriate action.

Fund Account Statements - All NAB investment and checking accounts are reconciled monthly. No checks from either account can be made payable to “Cash” or “Bearer.” Signature cards are updated upon any change in any signatory.

Reserve Funds/Unrestricted General Reserve Funds - The following guidelines should be followed when allocating funds to the Unrestricted General Reserve Funds:

- ✓ Funds should equal to six months of the expense operating budget at a minimum.
- ✓ Funds would ideally equal the annual operating budget.
- ✓ It is recommended to allocate, at minimum, 6% of the NAB annual operating budget to the General Reserve Fund.
- ✓ Some funds within the Reserves account may be to develop and/or maintain specific projects or programs.

## B. RATE SHEET/SCHEDULE OF DUES

The Budget and Finance Committee prepares a recommended schedule of dues, rates, and fees on a yearly basis. The schedule includes amounts charged for use of the organization’s programs and services, such as NAB licensing exams, the digital study, CE Registry, etc. Once the schedule is finalized and the rate sheet is updated, this information is presented to the Board of Governors for approval.

The following factors should be determined when setting the market price (rate) of NAB products and programs:

- ✓ Direct costs (i.e., staffing, travel, printing, telephone, photocopies, fees, supplies, etc.); plus
- ✓ Indirect Cost Pool Allocations of Management and Administrative overhead (based on Management and Administration costs as a percent of total annual budget);
- ✓ Profit margins, determined based on the following considerations:
  - cost to maintain the program.
  - consistent with current association income needs and goals.
  - perceived value
  - market demand

### **Dues**

As provided in the bylaws, NAB governing memberships are yearly and established based on a calendar year (*January 1st – December 31st*). As such, payments must be remitted by January 1st of each year to avoid loss of NAB member benefits.

The NAB office distributes the first dues notice ninety (90) days prior to the due date. If dues are still outstanding on March 1st, the delinquent governing member board(s) are advised that all payments must be made in full on or before April 1st. If payment is not made, membership can be terminated, forfeiting all rights and privileges that come with being a member. The Board of Governors does retain the authority to extend this deadline should they exercise their right to do so.

For those governing member with outstanding dues on or after January 1st, NAB’s President and CEO shall also make more frequent contacts with delinquent members encouraging them to renew their membership.



## **Fees**

The current NAB rates for programs and services can be found in *IX.C1 NAB Full Listing of Prices and Dues*.

## **NAB Member Rights and Privileges**

The following benefits come with being a member of NAB. This is inclusive of associate, organizational, governing, international, and leadership award winner members:

- ✓ Use of NAB's exam candidate application system.
- ✓ Purchase of publications at member rate.
- ✓ Access to continuing education registries and Health Services Executive (HSE™) applications for member board's licensees.
- ✓ Member rate registration pricing for annual and mid-year meetings. Ability to serve on committees.
- ✓ Obtain NAB digital communications as applicable.

## **C. NATIONAL CONTINUING EDUCATION REVIEW SERVICE (NCERS)**

Organizations and agencies who provide continuing education training for senior living and health services administrators and would like NAB to nationally approve their programs need to submit their applications online through NABVerify system. The NCERS fee schedule can be found by reviewing *IX.C1 NAB Full Listing of Prices and Dues*. While an invoice will be mailed to the company/organization upon submitting the program, billing reminders will not be sent.

NCERS membership and program fee rates are set annually. The Continuing Education Committee reviews the established fees based on the criteria noted in [Chapter IX. Financial Management Section A. Budgeting](#) and submits recommendations to the Budget and Finance Committee. The Budget and Finance Committee will make the final determination on all rate changes and will use information provided by the Continuing Education Committee to compile the proposed schedule of rates and fees for the upcoming fiscal year.

## **D. CONTRACTING**

The NAB Chair and the Executive Committee initiate and monitors contracts as specified in this section of the procedures.

Major contracts, such as those with the Association Management Company, the examination service provider and other outside organizations providing many services and/or are a large investment for NAB, are approved by the Board of Governors, and signed by the NAB Chair before they become effective. For minor or routine contracts, the NAB Chair has the authority to approve NAB's President and CEO to sign and execute these agreements. Examples of these contract types would be contracting with hotels/venues to host annual NAB meetings.

Contract dates are set by the Board of Governors. Continuing contracts are renewed as appropriate to expiration dates. All contracts include a cancellation clause agreeable to NAB and the contractor.

## E. PURCHASING

Pricing - When buying items on the open market, it is vital that NAB staff research and negotiate for the best pricing for products and/or services desired.

Meeting costs - The NAB staff shall prepare a Request for Proposal (RFP) for all meetings of the organization. Once proposals are received and the venue of choice is selected, staff shall negotiate for best pricing for guestrooms, food/beverage, concessions/perks, and any other services needed prior to finalizing any contracts.

Payment of invoices - All invoices are approved for payment by NAB's President and CEO, the chairperson, or the treasurer. Invoices are paid only with supporting documentation.

## F. COMPENSATION AND EXPENSES

All compensation and expenses paid to contractors are paid upon submission of invoices as outlined within their contracts. Any exceptions in contract fees must be made and approved, in writing, to the NAB President and CEO prior to the invoice(s) being paid. Expense claims are submitted through an electronic expense reimbursement system utilized by NAB. Claims must be submitted according to NAB Travel Regulations as outlined in the next section.

## G. TRAVEL REGULATIONS

A central travel agency may be utilized to coordinate travel arrangements. NAB staff supplies information to association members and assists with travel plans.

Airfare and Personal Auto Mileage – NAB will cover expenses related to round trip coach airfare or actual mileage incurred at the current IRS rate not to exceed coach fare (*as priced at time of notification to NAB staff*) if the expense equals or is below the approved threshold (*currently set at \$800*). Should the ticket price exceed the approved threshold, approval must be requested for additional expenditure.

Ground Transportation and Parking - Ground transportation to and from the airport and airport parking are reimbursable expenses. When a private car is used for ground transportation, mileage is reimbursed at the regular rate. Receipts are required when applicable. Car rentals are not reimbursable unless pre-authorized prior to expense being incurred. Rental cars are only approved in unique circumstances such as the cost of the rental car is less than ground transportation.

Meals –Meal reimbursement is based on a daily limit of \$175 per day if NAB is not providing any meals on that day. If one or more meals are being provided by NAB, a partial meal coverage will be in place based on the following meal reimbursements:

- ✓ Breakfast - \$45 per day
- ✓ Lunch - \$45 per day
- ✓ Dinner - \$85 per day

Receipts are required for meals to be reimbursed.

Lodging - NAB will pay actual lodging expenses upon presentation of a copy of the paid hotel bill when applicable. When NAB arranges for the room and tax to be billed to NAB's Master Account, the individual must pay for incidentals upon checkout. The NAB Chair will be provided with room upgrades at association meetings as available.

Other Expenses - Telephone calls from meetings to a member's home office are paid only when it concerns NAB business. Claims must be made according to the NAB Travel Policy Guidelines. The NAB Chair may authorize payment of other NAB business expenses, such as shipping costs of materials, typing, and copying, incurred by members as applicable.

Travel Vouchers - NAB provides volunteers authorized to submit expenditures incurred with access to Concur, NAB's electronic reimbursement system. Requests are reimbursed only when received within 30 days of the last travel day or date the reimbursable expense was incurred unless otherwise approved. Airline ticket stubs, hotel receipts and other reimbursable receipts are required to be submitted within the Concur system for the expense report to be paid.

NAB is grateful to those who do not seek reimbursement for expenses incurred on NAB business and to those states and companies who underwrite the expenses of those who participate in NAB affairs.

## H. ACCOUNTING REPORTS

NAB's President and CEO supervises development of a statement of financial position monthly, and distributes them as follows:

- ✓ Monthly statement of financial position plus up to level three (3) detail of the income and expense statement is distributed to both the Executive Committee and the Budget and Finance Committee.
- ✓ The statement of financial position plus level one (1) detail may be included in the newsletter and/or the annual report. In lieu of these reports, a summary of yearly financials may also be provided for the annual report.
- ✓ Upon request, the statement of financial position and level two (2) details may be sent to any Board of Governor's member.
- ✓ The comparative statement, which accompanies the income and expense statement, must present the total annual budget and year-to-date actual figures.

## I. AUDITING

The NAB President and CEO is responsible for negotiating an agreement for an annual audit to be conducted through a third-party CPA firm experienced in nonprofit organizational audits. Once a firm is chosen and terms of the agreement are finalized, s/he submits the final selection to the executive committee for approval prior to the agreement being executed.

NAB's Treasurer works, in collaboration with members of the Executive Leadership Team and the auditor, to ensure the audit is completed in an acceptable, timely manner.

Once completed, the final audit report is distributed to all member states.

## J. RISK MANAGEMENT PROGRAM

NAB obtains a comprehensive risk management program, which is reviewed on a regular basis by the Executive Committee as outlined in the risk management review schedule and reporting mechanism.

NAB's President and CEO is responsible for implementing the approved Risk Management Program including the schedule of Risk Management Review activities.

NAB's President and CEO will report on the Risk Management Program to the Budget and Finance Committee at each annual meeting, including appropriate and necessary action plans for any areas in need of improvement.

The Budget and Finance Committee's Chair will report the status of the Risk Management Program annually to the Board of Governors.

#### K. BONDING

The Budget and Finance Committee evaluates the possible need for bonding. Should changes be needed, the committee will make recommendations to the Board of Governors for final approval.

#### L. INDEMNIFICATION

It is the responsibility of both NAB's President and CEO and the Executive Committee to ensure that the organization has an active professional liability insurance policy in addition to reviewing and negotiating rates on an annual basis.

All recommendations regarding changes in insurance policies are submitted to the Board of Governors for final approval.

### X. Records Retention

Proper control, safety and retention of all association records shall be the responsibility of the President and CEO. The President and CEO will identify all records to be maintained in accordance with the association's record retention policies and develop a schedule indicating the type of record, length of retention, and the format or medium under which the record will be maintained.

NAB maintains its records retention program in conformance with standards promulgated by the American Society of Association Executives (As outlined within IX.X1. *NAB Records Retention Policy*).

### XI. Ethics

*Conflict of Interest* – NAB defines a conflict of interest (COI) as being “any situation in which a person is in a position to derive personal benefit from actions or decisions made in their official capacity.” In essence, a COI exists when a member of the Board of Governors and/or an officer has personal or family financial interest, either directly or indirectly, in a contract, business transaction, or other matter that is under consideration by the Board of Governors or the Executive Committee. When such situations arise, the Board of Governor's member and/or officer shall recuse themselves of all discussions or votes on matters in which a conflict exists. When this topic comes up for discussion, S/he must excuse himself/herself from the meeting when this matter is under consideration, but his/her presence may be counted to establish a voting quorum. This individual may return once the discussion(s) and/or vote(s) have been completed.

*Payments* - No association officer, employee, or member of either's family may receive, directly or indirectly, anything of economic value, other than compensation and benefits from the association to which s/he is duly entitled, for performance of the duties and responsibilities of his/her office or position.

*Things of Economic Value* - No NAB officer, employee, or member of either's family may solicit or receive anything of economic value, except food and drink which can be consumed at the time of presentation,

from any enterprise or its representative with which the association contracts or from which it purchases, or from any enterprise seeking to conduct business with NAB.

Things of economic value shall include, but not be limited to, transportation, lodging, paid entertainment, gifts, and money.

Employment and Representation - For a period of two years following completion of the term of office or employment by NAB, no officer, employee, or member of either's family may participate with NAB in any transaction as an employee or a representative of any contractor or vendor which conducted business with the association during his/her term of office or employment.

Double Billing - No member may bill NAB for any expense (travel, lodging, meals, telephone, or other) that has been or is to be paid by a state, an organization, or other entity.

Contractors and Vendors - No contractor or vendor shall offer, directly or indirectly, any compensation or benefits as described in this code to any officer, employee, or either's family member so long as either shall conduct or endeavor to conduct business with NAB.

Association Members - No member of the association may use his/her affiliation with NAB to promote personal gain. Activities a member cannot be involved in shall include but not be limited to:

- ✓ Claiming or inferring endorsement, sponsorship, or approval by NAB of any publication, program, or media.
- ✓ Making qualitative or quantitative comparisons between his/her publications and NAB publications.
- ✓ Soliciting from examinees any information regarding content and/or makeup of the NAB examination.

Reporting and Investigating - Any member of NAB who is aware of a possible violation of this code of ethics is duty bound to report such possible infractions to the NAB Chair and/or the Executive Committee. The NAB Chair and/or the Executive Committee shall establish and appoint an Ethics Ad Hoc committee to direct an immediate investigation.

Ethics Ad Hoc Committee(s) will be appointed by the Executive Committee on an as needed basis and will consist of the Immediate Past Chair of NAB, the Bylaws Committee Chair, and an even number of past or current committee chairs knowledgeable in the task to be performed. When selecting members, consideration will be given to the nature of the COI violation, their geographic location, and their role within NAB to ensure an objective, unbiased decision is made. The President and CEO of NAB will also serve on this committee as an ex officio member.

Those who serve as part of a NAB Ethics Ad Hoc Committee may, from time to time, be exposed to documentation and information that is not freely available to the public and are expected to treat such information as "Commercial in Confidence." The committee shall review all questions involving conflicts of interest and shall make a recommendation to the Executive Committee, the NAB chair, or the Board of Governors, as required. They shall also periodically review the policies and procedures regarding ethics, conflict of interest and the related disclosure statements utilized by NAB to ensure all these resources are appropriate and identify ethical behaviors and conduct expected of NAB staff and volunteers. Should

changes be needed, the Ethics Ad Hoc Committee will make a recommendation to the applicable Responsibilities of the Ethics Ad Hoc Committee include, but are not limited to:

- ✓ The committee shall convene as required to carry out its duties.
- ✓ The committee shall address such issues as ethical violations and conflict of interest (COI) allegations.
- ✓ The committee shall periodically review and update NAB's conflict of interest disclosure statement. Should any changes be made in the COI statement, the Executive Committee shall approve these changes and an updated version will be added to the NAB supplemental governing documents (*Appendix F Conflict of Interest Statement*).
- ✓ The Ethics Ad Hoc Committee Chair shall report on committee activities at the Executive Committee and/or Board of Governors meetings, as applicable. Reports are only required if the committee has actions or activity to discuss.
- ✓ For each violation disclosed to the NAB Chair, it is at their discretion whether to:
  - a. Take no action on the issue/violation.
  - b. opt to fully disclose the issue/violation to the Board of Governors and other individuals covered by this policy.
  - c. Ask the person to recuse themselves from participation in related discussions or decisions within the organization regarding this issue.
  - d. Ask the person to resign from his or her position in the organization or, if the person refuses to resign, become subject to possible removal in accordance with the organization's removal procedures.
- ✓ The organization's chief employed/contract executive and chief employed/contract finance executive will monitor proposed or ongoing transactions for conflicts of interest and disclose them to the NAB Chair to deal with potential or actual conflicts, whether discovered before or after the transaction has occurred. Subsequent allegations of conflicts that are not disclosed shall be addressed through the Ethics Ad Hoc Committee.

**Penalties** - In the event it is established that a member, employee, family member, contractor, or business has violated this Code of Ethics, the following action(s) shall be taken:

- ✓ An officer shall be removed from office and, as with any member violating this Code, be denied all privileges of membership in NAB and shall be forbidden to conduct business with NAB either personally or as a representative of the organization.
- ✓ The employee shall be terminated.
- ✓ The contractor or other business enterprise shall be barred from conducting further business with the association and may be subject to punitive damages.

## XII. Voting

When the executive committee decides an issue is to be submitted for mail/electronic ballot, the following procedures are to be executed:

- ✓ The issue is clearly stated in ballot form with the option for members to vote affirmatively or negatively (veto) the issue presented.
- ✓ The ballot is distributed by certified mail or electronic ballot by NAB's President and CEO with an explanation signed by the chair. Ballots are sent, either by mail or by electronic means to the last known mail/e-mail address of the designated delegate for each state.
- ✓ The designated delegate for each state is to cast their ballot on behalf of their state.
- ✓ Instructions are included to return the ballots to the NAB national office by certified mail within twenty (20) days from the date the initial ballot was received by the member states or by electronic ballot.
- ✓ The Executive Committee tallies the ballots and reports the results to the Board of Governors.
- ✓ Once the Board Chair announces the election results, which is accepted by the Board of Governors and the elected officers of the organization are sworn in, the ballots will be destroyed to ensure confidentiality within the voting process.

### XIII. Communications

#### A. CORRESPONDENCE

The NAB Chair delegates authority to the President and CEO to handle routine correspondence that does not require his/her or another officer's specific approval.

Correspondence requiring the NAB Chair's or another officer's approval is cleared with him/her by the NAB staff by telephone or mail/e-communication, as the need(s) dictates.

The NAB staff develops and maintains orderly correspondence files that are appropriately and securely maintained.

#### B. NEWSLETTER

NAB issues a biannual newsletter to provide highlights from both the Annual and Mid-Year Meetings. The purpose of these newsletters is to provide a comprehensive tool for state executives to share information about NAB with their entire member boards. NAB staff are responsible for developing the newsletter content. The NAB President and CEO, in collaboration with the Chair, reviews and approves all content before final publication.

Copies are distributed to the entire membership and to other organizations as agreed upon by the Executive Committee.

#### C. WEBSITE DIRECTORY

NAB's President and CEO requests that each state, commonwealth, district, and territory maintain current information for the directory accessible through the NAB website.

This directory includes pertinent information regarding the governing member boards from each state, commonwealth, district, and territory.

The directory is accessible to the public.

#### D. STUDIES (RESEARCH)

The NAB Board of Governors submits to the Foundation of the NAB Board of Trustees suggestions for research topics to explore and/or studies to be conducted. Results of studies are made available to association members and other interested parties within the limits of the Foundation budget.

#### E. ELECTRONIC DEVICES

The NAB Chair delegates authority to the requisite committee chair(s) to determine the appropriateness of using an electronic recording device (audio or video) during live events. The use of recording devices during NAB meetings is prohibited unless prior authorization is requested and approved by the requisite committee chair. If approved, all attendees must be notified that the meeting is being video and/or audio recorded should they not want to participate.

Cell phones brought into meetings must be turned off or placed in a silent/vibrating mode. Other electronic devices should be used in such a manner so as not to disturb other members in attendance.

### XIV. Dissolution

If the association decides to dissolve, such dissolution shall follow the laws of the state in which it is incorporated.

Dissolution procedures are handled by the Executive Committee and the President and CEO.

Once all financial obligations have been met, the Board of Governors selects a qualifying organization to donate the remaining cash and assets that belong to the organization. This is to be paid by cashier's check.

Records of the association shall be retained and disposed of according to the laws of the state in which the association is incorporated. Such retention and disposal shall be the duty of the chair of the association.