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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)
The NAB’s Board of Governors, through the strategic plan, establishes the objectives of the association.

C. OPERATIONS
The procedures for management and operations are identified under various topic headings within this document.

D. ORGANIZATIONAL STRUCTURE
Proposed changes in organization 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.

II. Membership

A. MEMBERSHIP TYPES

i. Governing Membership – Governing members are members of state, commonwealth, district, and territorial boards of the United States and the District of Columbia and the executive director/secretary of the boards. 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 on the basis of 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. Associate Membership – Associate members are former governing members and individuals who were formerly eligible for governing membership. Associate members shall be eligible to hold office, to serve committees. Associate members are ineligible to serve as a voting state delegate.

NAB staff, as designated by the association president and CEO, contacts all former governing members at the termination of their active membership status inviting them to become associate members along with information on how to join the association. Individuals formerly eligible for governing membership who never became members may voluntarily apply for associate membership, providing documentation of their eligibility.
iii. **Subscribing Membership** – Subscribing members are representatives or members of a faculty of universities, colleges, or schools that offer a long term care administrator course approved by any state board or agency charged with licensing and/or registering nursing home administrators; and representatives or paid staff members of any business or professional organization engaged in activities which relate to the objectives of NAB. They 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.

The NAB Chairman works in collaboration with the organization’s president and CEO to identify professionals who may be eligible for subscribing membership. Once identified, NAB staff will contact these individuals, providing them with information on how to join the association. Individuals interested in membership may also voluntarily apply as a subscribing member at www.nabweb.org.

iv. **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 long term care 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 Chairman 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 Chairman 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 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 policies 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. Election is held by written or secure electronic ballot, and officers are elected by majority vote.

The Nominating Committee presents candidates separately for the offices of chairman-elect, secretary, and treasurer. Candidates for chairman-elect are placed in nomination first, the floor is opened for other nominations and the chairman-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 New York State Not-For-Profit Law. Ballots should contain the names of those candidates whose names have been 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 specified time period to share their views with the voting membership. The NAB Chairman will appoint a timekeeper, who has the responsibility to ensure each candidate does not exceed their allotted timeframe. Candidates running for the position of Chairman-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 chairman 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 Chairman. If using electronic balloting, a secure, independent system will be utilized.
A majority vote shall elect the officers of the organization. Should a majority be reached, the chairman will announce the result. In the case where there is no majority vote, the chairman 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 chairman 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 out-going chairman-elect automatically succeeds to the office of the chairman. The out-going chairman automatically succeeds to the position of immediate past-chairman.

D. OFFICER VACANCIES
If an officer is unable to continue to serve in the office to which s/he has been elected; the chairman 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 chairman presents his/her appointee directly to the Board of Governors for approval at that time.

If the chairman resigns, or for some other reason is unable to serve, the chairman-elect succeeds to the chairman position. The new chairman shall call for nominations for the office of the chairman-elect. The election shall be held forty-five (45) days after the call for nominations. At the discretion of the Executive Committee, said election 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 (⅔) vote of the members of the Board of Governors.

The chairman 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 (⅔) of the members of the Board of Governors sign the removal petition, the petition is presented to the chairman who immediately notifies the officer of his/her removal.
V. Association Meetings

A. PLANNING (TIME/PLACE)
The Executive Committee elicits suggestions from the membership for time and arrangement of meetings. At each Annual Meeting, the chairman notifies the membership of future meeting arrangements and dates.

NAB’s Meeting Director, with the guidance of the president and CEO and the Executive Committee, 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 approved by the chairman 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 chairman 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 chairman develops the order of business for the Board of Governors meetings. The agenda is presented when a quorum is established and is approved, with 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 are 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 or 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 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 chairman, the Executive Committee, 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 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 (PR-V.J.1 Guidance-Electronic Meetings)

VI. Committees and Task Forces
A. STANDING COMMITTEES
Each committee shall submit to the Budget and Finance Committee chair an anticipated budget line item for their committee by September 1st of each calendar year.

Each committee shall submit to the Bylaws, Policies and Procedures Committee chair an update and accurate listing of policies and procedures for their committee by April 1st of each calendar year.

Except for the Executive Committee, the chairman determines the number of members to serve on each committee and appoints all members, except as designated in the bylaws and the policies and procedures. Committee appointments are made prior to association meetings, and the chairman notifies the association of each committee’s membership as soon as feasible.

The chairman may add additional members as s/he deems advisable except as otherwise provided herein. The chairman 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 chairman. 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 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 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 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 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 chairman.
Meetings of the Executive Committee are called by the chairman, 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 chairman’s designated official address. The chairman 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 perceives the need for termination and/or employing a president and chief executive officer or making a change in location of the NAB national office, it makes its recommendations to the Board of Governors through the chairman. The chairman, 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 chairman determines an action or matter needs immediate action, the Executive Committee may adopt and implement a temporary solution. The chairman 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 a designated staff member or volunteer and then reviewed and signed by the secretary of the Executive Committee. Minutes are distributed by the president and chief executive officer as directed by the chairman.

C. BYLAWS, POLICIES, AND PROCEDURES COMMITTEE

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 or special meeting.

I. If the Bylaws Committee recommends and the chairman concurs, the chairman may direct that the proposal(s) be submitted to the Board of governors by mail/electronic ballot.

II. ii. 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.

Policies, Procedures, Job Descriptions - Recommended changes must be sent to the Bylaws Committee in time to be considered by the committee before any regular or special meeting. However, if the chairman 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 chairman 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 chairman may direct that the recommendation be submitted for mail/electronic ballot in which case a majority of member states (policy) or Executive Committee members (procedures) will decide.
D. EXAMINATIONS COMMITTEE

i. General Information

Any informational or promotional materials developed on the examination(s) are approved by the Examinations Committee and the Executive Committee. 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).

Only standing committee and alternate members are permitted to attend examinations workshops where they will be given access to any examination material or data. The examinations committee conducts open meetings to discuss administrative matters, and closed meetings to consider and review examination questions. Members designated to participate in these sessions must have attended an orientation session.

The contract between NAB and the examination contract agency is typically a multi-year agreement, but it is strongly recommended that it is reviewed on an annual basis a minimum of thirty (30) days prior to the contract anniversary date. The Examinations Committee, in collaboration with the Executive Committee, will determine if NAB should issue a Request for Proposals (RFP) a minimum of nine (9) months prior to the contract termination date (or renewal date for evergreen agreements) in order to ensure continuity of examination services.

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).

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.

e. 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 chairman for approval and dissemination.

The examination contract agency releases no information relative to the examination, the applicants, or the score without explicit authorization and direction in writing from NAB.

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.

A training session will be conducted by the committee/subcommittee chair(s) and the testing agency for all new item writers prior to their participating in any part of the item writing process. This session will generally take place in person or through a web conference.
Prior to writing new test questions, the respective subcommittee chair and vice chair will review questions in the test item bank to assess the number of questions in each domain. The subcommittee chair and vice chair will then assign item writers specific domains that will benefit from the additional test questions.

The Examinations Committee chair along with the subcommittee chair are responsible for ensuring all references are current, and that all test questions are referenced appropriately from one or more items found on the approved bibliography reference list. 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.

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 comprised of members of the Examinations Subcommittees. The complaint investigation task force would be comprised of the Examinations Committee chair and the applicable subcommittee chair or vice chair in addition to one other member (or chair/vice chair) of an Examinations Subcommittee. 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 or not 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.

**ii. Committee Composition**

The NAB chairman shall delegate to the Examinations Committee chair and the Executive Committee liaison(s) to the Examinations Committee, 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, including associate members if applicable. When reviewing potential committee members, diversity in demographic location, gender, ethnicity, years of experience, ability to serve as a voting Board of Governors member, facility ownership status and size should be given consideration. It is important to identify individuals who are involved in activities that could affect, if not subject to, appropriate controls, confidentiality, objectivity, or impartiality, and restrict their 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 standing committee shall consist of up to twenty-six (26) members inclusive of the Examinations Committee chair, the Examinations Committee vice chair, three (3) line of service subcommittee chairs/vice chairs, and six (6) standing committee members on each of the line of service subcommittees (NHA, RCAL and HCBS). The NAB chairman 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. Nine (9) additional alternate committee members—three (3) for each subcommittee—shall be appointed to ensure adequate representation for each subcommittee is available to participate in addition to developing 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 and Executive Committee liaison may make temporary appointments to the committee. They may also make appointments to serve the remainder of the term of resigned or terminated members. 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 are appointed to either a one (1), two (2) or three (3) year initial term on one (1) of the three (3) specified line of service (LOS) subcommittees. These committee members can serve a maximum of six (6) years consecutively, if reappointed to subsequent terms. After serving as an Examinations Committee standing member for six (6) consecutive years, individuals are ineligible for reappointment 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 the Examinations Committee and/or the NHA, RCAL, and HCBS Subcommittee chairs/vice chairs exceed the term limits outlined above, they will be exempt through the remainder of their term at which time they will be ineligible to serve as a standing committee member.

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 turning them over to NAB’s Examinations Committee leadership team, consisting of the committee and subcommittee chairs, to assess committee needs and applicant expertise. Committee applicants will also interview with one or more of the individuals on the NAB Examinations leadership team. Upon approval by the Examinations Committee chair to move applicant forward for appointment as either a standing or alternate committee member, NAB staff will submit the nominee for review by the NAB Chairman who determines 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.

Service on the NAB Examinations Committee is a privilege and may be terminated at any time by the committee chair and Executive Committee 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 group 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 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.

Only standing committee members and alternates, as requested, are permitted to attend committee meetings, or have access to any examination material for data analysis or review. The Examinations Committee conducts open meetings to discuss administrative matters, and closed meetings to consider examination questions. Members designated to participate in these sessions must have attended an orientation session and sign both the Examinations Member Expectations/Confidentiality Agreement in addition to the NAB Conflict of Interest form. Members who develop examination preparatory materials for publication and/or conduct refresher courses to prepare licensees for any of the NAB examinations may not serve as a standing or alternate member of the Examinations Committee. This does not preclude the committee’s utilizing any member’s expertise on a consultant basis.

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

**iii. Examination and Item Development**

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.

**iv. Examination Production**

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.

v. Scoring
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 the 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 purvey 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.

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.

vi. Bibliography
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.

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 back 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 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.

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.

vii. Practice Examination

The Examinations Committee selects items that appear on the practice CORE examinations and each respective subcommittee selects 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.

E. EDUCATION COMMITTEE

All recommendations for academic accreditation programs shall be made in accordance with the NAB Academic Accreditation Program Handbook. Academic Accreditation site visits shall be conducted in accordance with the following:

✓ All site visitors will be appropriately qualified for the work to be performed.
✓ Prior to the site visit, site visitors will sign a current conflict of interest statement, which attests that there are no conflicts in their work as site visitors.
✓ The Education Committee chair, in consultation with the NAB chairman and the president and CEO, will select site visitors.
✓ Site visitors will have no connection or relationship of any kind with the program to be reviewed.
✓ Whenever possible, site visitors will not be residents of the state where the program under review is located.
Site visitors will abstain when the Education Committee and Board of Governors vote on accreditation of the program.

Site visitors will recommend to the Education Committee one of the following actions be taken:

a. Accreditation
b. Accreditation with conditions
c. Accreditation with recommendations
d. 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 for accreditation will be reported to the NAB Board of Governors for action.

The committee will periodically review trends and developments in the industry and 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 and 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 required program director and faculty positions.
- 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 not be shared with the Education Committee members other than those directly 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 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 standards.

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 chairman 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 chairman serves as chair of the Nominating Committee.

Meetings may be held as necessary, or 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 each nominee’s vision for the organization in determining the slate of officers.

The committee presents a slate of officers to the president and chief executive officer 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 chairman directs the committee to submit other nominees whose names are revealed.

J. MEMBER RELATIONS AND OUTREACH COMMITTEE
The committee convenes as needed to carry out its duties.

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 will review all requests to publish material on behalf of NAB or referencing an affiliation to NAB to ensure that NAB’s message 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 members of the Credentialing Commission shall be comprised of a minimum of five (5) members, providing geographic diversity. The members and officers are appointed annually by the Chairman of the NAB thirty (30) days after the conclusion of the NAB 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 Chairman, who makes the final appointment. Members may serve no more than three 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 Chairman 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 5 Commissioners, with recommended actions delivered to the Bylaws Committee a minimum of sixty (60) days prior to the Annual or Special meetings. The Bylaws Committee will present policy recommendations to the NAB Board of Governors for final action. Any procedure 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 ensures that HSE applicants meet the minimum standards and qualifications necessary to be designated an HSE™ (refer to Procedures Document PO-IX.6 for the pathways to HSE™ qualification).

The commission approves third party certification programs for Residential Care/Assisted Living Administrators (RCAL) and/or Certified Home and Community Based Services Administrators (HCBS) as a qualification to use NAB’s RCAL and/or HCBS examinations as a certification program requirement. Only national and state non-profit associations representing providers and/or professionals in the field of long term care supports and services 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 (refer to Procedure Document PO-IX.6 for detailed meeting procedures).

L. AD HOC COMMITTEES

Ad hoc committees shall convene as required to carry out their duties as assigned by NAB’s chairman or Board of Governors.

Ad hoc committee shall address such issues as ethical violations, conflict of interest allegations, and strategic planning.
The chairman determines the number of members to serve on each *ad hoc* committee and appoints all members, except as designated in the bylaws, policies, and/or procedures.

The chairman may add additional members as s/he deems advisable except as otherwise provided herein. The chairman also appoints a committee chair and vice-chair for each committee. The chair’s duties are listed under job descriptions. The 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 November committee meetings, and at such other times, as the committee chair and/or as the chairman deem advisable.

**M. TASK FORCES**

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

Task forces utilizes the authority as delegated by the chairman and the Board of Governors to address specific problems as assigned.

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

**N. COMMITTEE MINUTES, REPORTS, AND RECOMMENDATIONS**

Committee chair ensures that there is a designated minute taker for all official committee meetings.

A draft of committee minutes is submitted to the committee chair for review and preliminary approval. These minutes are then included as part of the subsequent meeting binder and brought forward for a formal approval by the designated standing 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 of general management arise, President and CEO contacts the chairman who has the authority to authorize the 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. 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 Sponsor 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 sponsor memberships: Standard Sponsor, Corporate 10 Sponsor, and Corporate Unlimited Sponsor. 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 Sponsor** – Suitable to those organizations (corporate or nonprofit) who do not hold any closed or private programs.

✓ **Annual Corporate Ten Sponsor** - 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 Sponsor** – 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 sponsors submitting a program, NAB strongly recommends that those staff who will be involved planning and executing the educational programming thoroughly review the NCERS program materials sent to new members. Crucial information related to program submissions, attendance monitoring, and reporting CE credits can all be found in the NCERS Sponsor User Guide, which is accessible on the NAB website. Yearly sponsorship fees must be paid, and an account must be active before the Sponsor can submit any programs for review and/or receive an approval.

### B. CERTIFIED SPONSOR MEMBERS

After a minimum of two years of sponsor members, those organizations/corporations in good standing with NAB may be eligible to apply for Certified sponsor member status. Certified Sponsor 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 the NAB 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 in order to prevent any conflict of interest from influencing the review process.

Once approved, the Certified Sponsor must sign the NAB/NCERS Certified Sponsor Agreement and agree to comply with NAB Procedures in Section VIII and in the NCERS User Guide before this status will be activated in their account. Those sponsors who obtain and renew their certified sponsor 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 the late fee being assessed. Each application must comply with the criteria for program approval according to the NCERS User Guide (pg. 41 - C).

Should a Certified Sponsor violate any of the outlined items in the NAB/NCERS Certified Sponsor Agreement and/or any procedure listed in the NCERS User Guide, their Certified Sponsor status may be subject to a temporary suspension or permanent cancellation of this status (*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 sponsor status until such time the CE Committee can convene for a vote on final action.

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

### C. NAB PROGRAM REVIEWERS

In order 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 sponsor 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 first confirm that s/he meets and agrees to the terms of the 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 calendar 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 application on or before October 1st. For reviewers requesting reappointment, applications should be submitted within the final term year as a reviewer.

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 and will review processes, methods, deadlines, in addition to 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 sponsors must submit applications to NAB within forty-five (45) calendar days from the first day of the 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 requirement, please review the NABVerify Handbook for Sponsors (Section 4 Submitting a Continuing Education Program)

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 NABVerify, which is the NCERS CE review system within 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.
i. Full Program Approval
In order for a program to be approved, consensus must be reached among all three (3) reviewers to fully approve the program. 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 with the three necessary three approvals. Otherwise, the program will be denied.

Once the application review is complete and the program is fully approved, a notification of program approval is sent to the Sponsor via an automatic email from the NCERS system. The Sponsor must follow all guidelines listed in the NCERS User Guide upon receiving the approval. Each program, along with all additional program sites, will have their own unique CE approval number. All sponsors 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 will be issued a unique approval number. If your site is not in the NCERS system prior to the scheduled start date, you will be subject to a $100 additional site late fee for that particular site. A list, which includes name of the programs, CE hours, presentation dates and locations, the NAB approval number and the name and telephone number of the sponsor, appears on the NAB web site in the NCERS CE Database of approved programs. Programs will only appear in the database if they are open to the public and once approvals are finalized.

ii. 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. In order 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 the partial approval in addition to contacting the sponsor through written communication explaining the decisions along with their rights to appeal the decision. The sponsor will have 30 days from the partial approval 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 as part the appeal includes sufficient information to be granted the full approval of the total requested hours. If overall 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 enough to warrant full approval, then up to two (2) additional reviewers may be assigned to the program for review. 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 is denied. Additional procedures for NAB CE sponsors can be found in section VIII, 8.

iii. 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 need to be 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 with led to the final recommendation. Additional procedures for NAB CE sponsors can be found in section VIII, Section 8.

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 sponsor 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 sponsor 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 the sponsor feels are needed for clarification and justifies further review. Programs will not be reviewed for full and/or partial approval without additional information submitted.

iv. Appeals Process
Programs that have been partially approved or denied are eligible for appeal should additional and/or new information become available which would warrant additional subject matter expert (SME) opinion. Once the appeal is submitted, an Appeals Panel is appointed. This consists of three current NCERS Reviewers from a selected pool and may not include those who were part of the original SMEs who denied the program. The appeal will be limited to a review of the original review process and materials along with any new information that was provided in order 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 sponsors 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 so choose representatives of an appealing sponsor organization may request to appear before the Appeals Panel. These meetings are primarily conducted through a web conference format and will be schedule as the Appeals Panel volunteers are available. Permission to appear before the Appeals Panel is at their sole discretion and approval is determined by a majority vote of the members. The decision of the Panel on this matter is final.

The Appeals Panel may affirm, modify, or reverse the underlying original reviewer’s recommendation. The Appeals Panel will make decisions by majority vote of its members and will issue its decision 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 Appeals Panel decisions are final.

There is no charge for an appeal review since these are only held in a web conference format.

F. LATE FEES
If an application is submitted after the 45 day mark, a late fee will be added to the Sponsor’s total program fees that are due. While sponsors are unable to waive late fees, this does not expedite the review process. For all standard and corporate sponsor members, program applications must be submitted 45 days prior to the requested approval start date or a late fee will be assessed. For more information, on compliance procedures, schedule of dues, rates, and fees, please review the NCERS Sponsor User Guide.

The 45 days late fee may be waived may be waived by the NAB Executive Committee should a significant need arise. All late fee waiver requests must be approved in advance and only one waiver per sponsor will be
authorized throughout the CE sponsor’s membership tenure. Late fees may be waived should the following situations arise:

✓ sudden change in federal and/or state regulations or
✓ major disruption in business operations due to a natural disaster.

A sponsor has the option to renew a program that has been previously approved. The program will not be sent out to reviewers as it was previously approved however, NAB Staff will perform a staff review to confirm that the program still meets the guidelines listed in the NCERS User Guide. Once approved the program will be issued a new approval number.

Should a sponsor choose to renew a program, the following criteria is the only information that 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 in-person, 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.

Program and session content in the agenda cannot be altered. Sponsor agrees to pay the necessary fees associated with a program renewal. If program changes to the content or any other part of the application are required the Sponsor will be allowed to make these changes, pay the necessary fees, and submit the program for a full review. Continuing education applicants pay a fee for all reviews as set by the Board of Governors and outlined under Chapter IX, Financial Management.

Programs are approved for a 12-month period based on the offering of the programs requested approval start date. Certified Sponsors must publicize the NAB email address cecomments@nabweb.org to all attendees for the purpose of feedback to the NAB/NCERS staff liaison regarding all programs that are held.

If NAB receives a Sponsor compliance complaint or any type of feedback from an attendee or any other individual regarding the Sponsor not following NAB procedures outlined in the NCERS User Guide and/or NAB’s Policy and Procedures documents, the following will occur:

✓ The NCERS staff liaison will assign a reviewer(s) to monitor a selected program or the reported program. If the reviewer finds the concern(s) is valid, or if the concern is not related to a program but the Sponsor simply not following Procedures then the sponsor will receive:

* **First Notice** – A letter from the NCERS staff liaison stating the concern(s) and if applicable the monitor’s review of the program. The sponsor will have 30 days to correct the issue and must contact the NCERS Coordinator and indicate what they have done to remediate the concern(s).

* **Second Notice** – If after 30 days, the sponsor has not corrected the concern(s) or notified the NCERS staff liaison of a plan to correct the concern(s), the organizations/corporation’s status as a NAB sponsor member/provider of CE will be suspended for 30 days. The sponsor will be sent a second letter from the President & CEO of NAB stating that the concern(s) have not been remediated and that the Sponsor status has been suspended for 30 days. During this time, the sponsor will be unable to grant CE credit for any approved programs. The sponsor has 30 days
to remediate the concern(s). If, at any time during this 30 day period, the sponsor has remediated the concern(s), the suspension may be lifted.

* **Final Notice** – If after the additional 30 day period the concern(s) has not been remediated, the organizations/corporation’s status as a NAB sponsor member/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 and must go through the Continuing Education Committee Chair for reinstatement.

Once the correction(s) have been made, the NCERS staff liaison will notify the sponsor that their status is in good standing. If necessary, a monitor will review upcoming programs to make sure the sponsor is complying. If a pattern of non-compliance is established with a sponsor’s programs, sponsor’s 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 according to the NCERS User Guide. Additional continuing education may also be granted for other NAB activities as long as it’s submitted by a committee chair, approved by the Executive Committee, and meets NCERS guidelines according to the NCERS User Guide.

For more information regarding NAB’s CE program policies and procedure, please review the NCERS Sponsor User Guide and the NAB Certified Sponsor Information, both of which are accessible on the NAB website and are incorporated herein.

G. **NAB CE SPONSOR MEMBER TYPES AND CRITERIA**

In order to become a NAB sponsor 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;
- 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 Sponsor, Certified Sponsor, Corporate Sponsor, and Standard Sponsor. Below lists the unique qualifying criteria for each membership type.

**i. Academic Sponsor Membership**

This membership is granted upon request to those NAB Accredited Colleges and Universities. The annual sponsor fee for those Accredited Colleges and Universities in good standing will be waived.

Academic Sponsors must comply fully with the NAB’s 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 one year and have submitted a minimum of five programs for review.

**ii. Certified Sponsor Membership**

This membership is granted to those who have been a proven sponsor of continuing education under the NAB NCERS program. Certified Sponsor members must be reputable in the field of expertise related to the subject presented and are 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 sponsor membership, sponsors 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 outlined in the NCERS User Guide.

Once the Continuing Education Committee has approved the sponsor’s application, they must complete and sign the Certified Sponsor Agreement which sets forth the stipulations for continued approval.

Certified Sponsors are required to pay the fees required for a program to be submitted and are required to enter all the necessary information with the exception of:

✓ 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 sponsor’s programs are not required to be reviewed by any NCERS reviewers however, it will be reviewed by a NCERS staff liaison to confirm it meets the guidelines set in the NCERS User Guide and will automatically be approved.

iii. Corporate Sponsor Membership
This membership is for sponsors that would like to submit program application(s) for review and approval that are not open for public registration. Corporate Sponsor may also submit program applications that are open to the public. Sponsors wishing to become corporate sponsors must pay the corporate sponsor fee. NAB offers two corporate membership types: Corporate 10 and Corporate Unlimited.

iv. Standard Sponsors
This membership is for sponsors that would like to submit program application(s) for review and approval that are open for public registration. Sponsors wishing to become a Standard Sponsor must pay the Standard Sponsor fee.

H. CRITERIA FOR CONTINUING EDUCATION PROGRAMS
Criteria for NAB’s continuing education programs can be found listed below as well as within the NCERS User Guide:

The number of In-Person and Distance Learning program hours eligible for license renewal shall be determined by the individuals state licensing board.

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

✓ relate to senior living and aging services.
✓ be designed to promote continued knowledge, skills, and attitudes consistent with current standards in senior living and aging 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 sponsoring company to set 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.

i. Speaker Management and Program Evaluations

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

All programs that are NAB approved 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 submit as part of the Certified Sponsor application process. The following guidelines should be followed when developing an evaluation tool for NAB approved programs.

✓ An evaluation must be provided to each program participant.
✓ While the evaluation is required to disseminate, the attendee can 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 Sponsor status.
✓ All sponsors are required to publicize the NAB email address cecomments@nabweb.org to attendees for the purpose of feedback to NAB regarding all programs that are held.

ii. 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 Sponsor members are required to report course attendance to NAB’s CE Registry within 30 days of course completion. The sponsor may also record a certificate in absence into the registry for those individuals who are not licensed or certified by a NAB member board. Sponsors who do not report attendance in a timely manner will face suspension and reinstatement fees.

Issued certificates must accurately record attendance reflecting the number of clock hours of actual attendance and that the learning objectives were met for each senior living and health services
administrator. While NAB, as part of the application process, approves the monitoring procedure for each program, it is the sponsor’s responsibility to validate administrator only receive credit for the time they were in attendance. Once attendance is recorded, a certificate can be automatically generated by the administrator, which will include number of clock hours actually attended and the NAB approval number. All CE attendance records for those who earned NAB credit but were not reported to the registry must be kept for a period of two years.

iii. Calculation of Program Instructional hours
All approved NAB CE credit 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. In order to be awarded NAB CE credits, the following guidelines should be followed:

✓ Program 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 hours 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 Distance Learning, Live Webinar programs.
✓ No credit will be issued for attendees attending a Tradeshow or exhibit halls.

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

iv. Additional Criteria for Distance Learning Programs
NAB offered five different media formats that sponsors 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 in the NCERS User Guide

Post-Tests are required for those sponsors who offer self-study Distance Learning programs. Sponsors should provide a minimum of five (5) questions per one (2) CE credit hours approved. Participants
should receive a grade of 70% or higher in order to pass and receive credits for the course. Post tests should be graded by the sponsor not the learner.

v. Certificate of Completion

Sponsors must report attendance to NAB’s CE Registry 30 days after the programs end date or the individual’s completion date for self-study programs where they scored 70% or better on post-test. 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/Lat 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. If a sponsor chooses to issue certificates outside of the CE Registry, attendance records must be kept for a period of two years.

vi. Program/Participant Hours

The program sponsor 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, sponsors 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 are requested 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.)
vii. CE Registry

The CE registry can be accessed by those NAB member boards who are in good standing in order 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 one required to be reported. Should these credits show as self-reported by an administrator, the correct NAB ID number was not provided to the sponsor 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 prepares and submits 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 NAB active, governing member board if updated contact information is on file with NAB.

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 budget is submitted to the Board of Governors at its Mid-Year meeting for approval.

i. Budget Line Item Transfers

Upon consensus among the NAB Chairman, 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.

ii. Chairman’s Contingency

A line item “Contingency” is included in the budget. These funds may be used at the chairman’s discretion for the benefit of the association.
B. 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. In order 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 Chairman, 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:

✓ Original copy is disseminated to the payee.
✓ Copy one (1) is saved and stored 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 - In order to disburse funds from the checking account, staff prepares 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, chairman, chairman-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 on a monthly basis. 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 to 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.

C. 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:
  o cost to maintain the program
  o consistent with current association income needs and goals
  o perceived value
  o market demand

i. 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 will 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.

ii. Fees
All members of the NAB Executive Committee (with the exception of the chairman) and all committee chairpersons are required to pay the registration fee at the Annual and Mid-year meetings unless a waiver is requested.

Hardship cases can be presented to the NAB Chairman for consideration of funding from the chairman’s Contingency Budget.

iii. NAB Member Rights and Privileges
The following benefits come with being member of NAB. This is inclusive of associate, subscribing, governing, 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.

D. 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 along with the payment amount listed. The NCERS fee schedule can be reviewed on the NAB website. While an invoice will be mailed to the company/organization submitting the program, billing reminders will not be sent.

NCERS membership and program fee rates are set annually. The Continuing Education Committee review established fees based on the criteria noted and submit 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.

E. CONTRACTING
The NAB Chairman and the Executive Committee initiates and monitors contracts as specified in this section of the procedures.

Major contracts, such as those with 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 Chairman before they become effective. For minor or routine contracts, the NAB Chairman has the authority to approve NAB’s President and CEO to sign and execute these agreements. Examples of these contract types would be those with states using NAB’s exam application system, should it be required they have an active one on file.

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.

F. 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 chairman or the treasurer. Invoices are paid only with supporting documentation.
G. COMPENSATION AND EXPENSES

All compensation and expenses paid to contractors is 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.

H. 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** – NAB reimburses expenses for meals only when one is not provided by NAB. Meal reimbursement is based on the per diem schedule as follows:

- Breakfast - $30 per day
- Lunch - $30 per day
- Dinner - $65 per day

**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 Chairman 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 Chairman 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 submitted 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 in order 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.
I. ACCOUNTING REPORTS
NAB’s President and CEO supervises development of a statement of financial position on a monthly basis, 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 total annual budget and year-to-date actual figures.

J. 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.

K. 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.

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

M. 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 the 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 (see document PO-IV.1).

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 any and all discussions or votes on matters in which a conflict exists. When this topic come 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 Chairman and/or the Executive Committee. The NAB Chairman 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 Chairman of NAB, the Bylaws Committee Chairman, 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 the conflict 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 the 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 (Document PP-XI.1).
- The Ethics Ad Hoc Committee Chair shall report on committee activities at 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 Chairman, 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 Chairman in order 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 chairman. 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 Chairman 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 in order to ensure confidentiality within the voting process.

XIII. Communications

A. CORRESPONDENCE

The NAB Chairman 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 Chairman’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 Chairman, 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 limits of the Foundation budget.

E. ELECTRONIC DEVICES
The NAB Chairman delegates authority to the requisite committee chairperson(s) to determine the appropriateness of using and 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 chairperson. 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 laws of the state in which the association is incorporated. Such retention and disposal shall be the duty of the chairman of the association.