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**AGD Board Policy Manual**

Updated: 23-24 Board Meeting I

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***Policy Type: I.*** *Guiding Documents*

**A. Vision Statement**

Policy 2015:102A-H-6

Oral health and better lives through the Academy of General Dentistry

**B. Mission Statement**

Policy 2015:102A-H-6

Advancing general dentistry and oral health through quality continuing education and advocacy.

**C. Brand Statement**

The Academy of General Dentistry (AGD) is committed to excellence in oral health care by promoting life-long learning. As the voice of general dentistry, the AGD advocates for general dentists and the patients they serve.

**D. Core Purpose**

Advance the value and excellence of general dentistry.

**E. Core Values**

**E**xcellence in oral health care

**D**iversity

**U**niversal acceptance of the general dentist as the gatekeeper of oral health care

**C**ontinuous life-long learning

**A**dvocacy/representation

**T**eamwork; camaraderie; mentorship

**E**thical, honest and credible behavior

**F. Tag Line**

Your voice for excellence through education and advocacy.

***Policy Type: I.*** *Guiding Documents*

**G. Strategic Plan**

Policy 2019:101-H-11

2019-2021 AGD Strategic Plan

**Continuing Education**

**Expand the breadth, depth and convenience of high quality continuing education opportunities for AGD members.**

**Goal~~s~~**

*General dentists will provide superior patient clinical outcomes.*

**High-Level Strategy**

To achieve this goal, AGD will do the following:

* **Continuing Education**—Deliver multi-channel continuing dental education through AGD, AGD constituents or other AGD collaborative relationships.
  + Provide a portfolio of online or web-based offerings to make continuing education (CE) accessible and affordable.
  + Explore direct-to-member CE facilitated by AGD for instances in which constituent-led CE is not viable.
  + Support constituent led CE including the development of efforts to provide high quality education.
* **Expanded educational recognition opportunities**—Create more opportunities to receive recognition for continuing education.
* **Micro-education**—AGD will explore developing micro-education to specifically address key clinical training meeting applicable license or AGD awardrequirements. (Micro-education is defined as education delivered in less than one-hour increments.)

**Practice Leadership and Support**

**Create~~s~~ new initiatives to help AGD members lead more financially successful practices by providing practice leadership education and business support.**

**Goals**

*AGD members lead or work in successful practices with positive business and clinical outcomes.*

**High-Level Strategy**

To achieve this goal, AGD will do the following:

* **Improve Dental Practice Leadership**—Educate and train dental practice leaders on effective practice management and leadership techniques. Activities include, but are not limited to, the following.
  + Create robust practice management education providing practice leaders with critical business and leadership resources.
* **Help Dental Students and Residents**—Lead efforts to help students and residents manage the financial impact of their education through best practices.
* **Improve Practice Performance**—Make available a national buying program or direct supplier negotiation providing discounts on practice supplies, equipment and other services. Activities include, but are not limited to, the following.
  + Investigating the development of an expanded portfolio of direct practice services (billing, EHR, legal) designed to provide AGD members with vetted, trusted and useful practice management and leadership assistance.
  + Investigating direct negotiations with high quality dental practice suppliers to provide for cost savings or service improvements to AGD dentists and their practices.

**Public and Policy Advocacy**

**Improve the climate for practicing dentistry through patient and policymaker education on the value of oral care and general dentistry and by promoting AGD members’ lifelong commitment to continuing education and successful patient outcomes.**

**Goals**

1. *Patients will seek out AGD members or member led practices.*
2. *Policy makers will support policies encouraging viable general dentist practices and improving oral health.*

**High-Level Strategy**

To achieve these goals, AGD will do the following:

* **Increase Patients**—Promote efforts highlighting the clinical differentiation between AGD members and other oral healthcare options.
* **Educate Policy Makers**—Educate policy makers on the positive patient clinical outcomes of dentist led general dentistry practices.
* **Advocate for the Dental Home Concept**—AGD will identify and implement strategies to educate policymakers and the public on the value of the dentist-led dental home concept.

**Organizational Foundation**

**Goal**

*AGD members will enjoy compelling CE, practice and personal support through vibrant constituents.*

**Strategy**

To achieve this goal, AGD will do the following:

* Create compelling constituent-led member communities.

**Goal**

*Responsible stewardship of human, financial and operational systems will support implementation of the vision, mission and strategic goals.*

**Strategy**

To achieve this goal, AGD will do the following:

* Ensure efficient, effective and accountable infrastructure at all levels.

**And be it further, Resolved, that the Strategic Plan Synopsis be employed as the primary document for public dissemination and distribution.**

**Text Narrative (This language will be utilized for public campaigns)**

The Academy of General Dentistry (AGD) recognizes that current and future dentists will practice in a dynamic and evolving world. AGD’s priority is to prepare and support general dentists-regardless of their personal goals, career paths or practice setting-to be successful within this environment. As a result, the AGD Strategic Plan is designed to outline high level goals and strategies to focus AGD efforts to support general dentistry.

The AGD Strategic Plan is inclusive of all individuals considering, practicing or supporting the practice of general dentistry and who share AGD members’ commitment to high quality patient outcomes and a life-long commitment to learning. The following summarizes key elements of the AGD Strategic Plan.

Through its vision and mission, the AGD Strategic Plan reiterates members’ commitment to *oral health and better lives because of the Academy of General Dentistry* through its continuing mission of *advancing general dentistry and oral health through quality education and advocacy*.

This vision and mission will be achieved by ensuring the following:

* General dentists provide high quality patient clinical outcomes through high quality and accessible continuing education.
* General dentists provide, lead or work in successful practices with positive business and clinical outcomes through AGD-provided practice management, leadership education, and practice support services.
* Patients will seek out general dentists or general dentist led practices and policy makers will support policies encouraging viable general dentist-led practices because of AGD advocacy, patient education and marketing efforts.”

***Policy Type: II.*** *Governance Process*

**A. Governing Style**

The Board is committed to continually improving its governance process. The Board will approach its task with a style that emphasizes outward vision, encouragement of diversity in viewpoints, strategic leadership and planning, clear distinction of Board and staff roles, collective decisions, and proactive engagement.

More specifically, the Board will:

1. Operate in all ways mindful of its trusteeship duties to the membership.

2. Enforce upon itself whichever discipline is needed to govern with excellence. Discipline will apply to matters such as attendance, policy-making principles, respect of roles, and speaking with one voice.

3. Direct and inspire the organization through the careful establishment of the broadest organizational values and perspectives through written policies.

4. Focus chiefly on intended long-term impacts on constituents and members on the world outside the organization (strategic outcomes) including establishing priorities among competing goals.

5. Be an initiator of policy. The Board will be responsible for Board performance.

6. Use the expertise of individual members to enhance the ability of the Board as a body, reflecting the group’s values.

7. Monitor and regularly discuss the Board’s process and performance *(see Group Norms listed below).* Ensure the continuity of its governance capability by continued training and development.

A. Self-monitoring will include periodic comparison of Board activity and discipline to its governance process and Board-staff relationship policies.

B. Continued redevelopment will include orientation of new members in the Board’s adopted governance process and periodic Board discussion of process improvement.

8. Be accountable to the membership for competent, conscientious, and effective accomplishment of its obligations as a body. It will allow no officer, individual, or committee of the Board to usurp this role or hinder this commitment.

9. Subjects for possible Board action should be sent to the President with copies to the Executive Director, President-Elect, and Vice President. Administrative concerns should be sent to the Executive Director with copies to the President, President-Elect, and Vice President.

10. When a trustee is appointed or elected to the Board to fill the remaining time of a previous trustee’s unexpired term, that appointment or election will count as the trustee’s first term, unless there is one (1) year or less remaining. Upon completion of that term, the trustee then would be eligible for one (1) additional term.

***Policy Type: II.*** *Governance Process*

**B. Board Guidelines**

As a group of dedicated individuals committed to serving the AGD to the best of our ability, we agree to the following guidelines:

1. Attendance at all scheduled meetings is expected. The president and executive director should be notified in advance of any anticipated absence.
   1. If a trustee does not fulfill these requirements, the Board may determine that this information be transmitted to the trustee’s region for their further action with the Board’s recommendation that the trustee be removed.
   2. If an executive committee member does not fulfill these requirements, the Board may determine that this information be sent to the House of Delegates for its further action.
2. If a Board member is going to be unavailable for more than 72 hours, he or she must inform the president and the executive director of the absence.
3. Board members should accurately follow parliamentary procedures during meetings as established by the Speaker of the House whether in person or through electronic communication.
4. Each Board member will check electronic communication within 72 hours.
5. Board members will make every effort to remain current with technology and training. The AGD will offer updates to Board members through the Information Technology (IT) department to advise them of changes occurring in electronic communication and to assist where possible in the Board members ongoing training and with equipment and software upgrades.
6. Board members must comport with the AGD Code of Conduct.
7. Any Board member, staff, counsel, or auditor may designate as confidential any form of communication to the Board. Upon such designation, the recipient should not forward Board information. Confidential materials will be transmitted with “Confidential” watermarks and email correspondents will be marked “confidential” in the subject line.
8. Confidential email communications may not include blind carbon copy recipients nor may these emails be forwarded to/shared with individuals not on the original recipient list.
9. The Board, may, upon determination of a Board member violating Board confidentiality, may censure that individual for that action.
10. If a trustee is censured, the Board may determine that this information be transmitted to the trustee’s region for their further action with the Board’s strongest recommendation that the trustee be removed.
11. If an executive committee member is censured, the Board may determine that this information be sent to the House of Delegates for their further action. Per Illinois law and AGD’s Bylaws, the House of Delegates may initiate removal proceedings.
12. If there is issue with a fellow Board member, then the concern should first be addressed member to member. If the matter cannot be resolved, or if the member is not comfortable with addressing the matter with the other member, the concern should be shared with the president who will refer the concern to the Dispute Resolution Committee (DRC).
13. If there is an issue between a Board Member and an AGD staff member, the concern should be first shared with the president who will consult and interact with the executive director in order to resolve the matter.
14. When the Board makes a decision, then it is the obligation of each Board member to support the decision regardless of personal opinions.
15. Board members (as well as all volunteer leaders) shall refrain from negotiating any contracts or agreements with any vendors, organizations, or entities.

Approved 2022-2023 Board Meeting II

***Policy Type: II.*** *Governance Process*

**C. Board Operations**

* At each independent, in-person Board meeting, at least one (1) evening will be dedicated to a social event.
* All materials must be made available two weeks (2) prior to an in-person meeting, and on week (1) prior to an electronic meeting, except in the case of an emergency meeting.
* The subject line of an e-mail should begin with “AGD” in order to indicate the message references AGD business. Privileged and confidential subject matter should be labeled as “Privileged and Confidential”. The terms “NRN” (no response necessary), “Response Requested,” and “Information Only” also should be used to indicate the level of response that is expected. In order to reduce unnecessary e-mail to the entire Board, attention should be made to respond only to the sender and not “respond to all” when appropriate, as in instances when the sender is asking for direct feedback only.
* The Board minutes will be posted online for review within three (3) weeks of the meeting. Staff should have the minutes ready for review by the Executive Director, President, Secretary and Speaker of the House two (2) weeks after the meeting. The Executive Director, President, Secretary and Speaker of the House should complete the review within four (4) days. Staff will have three (3) days to finalize the minutes so the minutes can be posted online for review within three (3) weeks of the meeting. There will be a one (1) week comment period, during which Board members may comment or recommend editions. At the end of the week, no further comments or edits will be permitted, and a survey will be posted to the Board for a vote. If the survey is not completed with 100% participation one (1) week after posting, the minutes will be included in the next Board agenda. If approved, the minutes will be posted to the Board, Regional Directors, House of Delegates and Council Chairs via the AGD web platform within three (3) business days. If not approved, the minutes will be repopulated with the Board for discussion and correction. After one (1) week of discussion and editing, the Board will again vote upon the minutes. This process will repeat until the minutes are accepted.
* At the conclusion of the Board meeting the balance of the Board contingency fund will be reported in the minutes.
* The Board represents the AGD, and each Board member individually in turn represents the AGD both to external parties and to internal components.
* Any information requested by a Board member from staff that will require more than two (2) hours of staff time must be requested through the Executive Director or Associate Executive Director.
* New business not already on the meeting agenda will be addressed by the Board under a 2/3 majority vote of the voting members of the Board.
* Travel dates and meeting location will be posted six (6) months prior to Board meetings. A more detailed notice will be sent 60 days prior to the meeting.

Approved 2022-2023 Board Meeting II

***Policy Type: II.*** *Governance Process*

**D. Board Job Description**

The job of the Board is to make certain contributions that lead the organization toward the desired performance and assure that it occurs. The Board’s specific contributions are *unique* to its trusteeship role and *necessary* for proper governance and management. Board members should have:

* Commitment to AGD and its mission;
* Knowledge about the programs and goals of the association as well as the activities of organized dentistry;
* Capacity to focus that knowledge on decision making that benefits the organization as a whole;
* Ability and eagerness to deal with values, vision, and the long-term future of the organization;
* Ability to participate assertively in deliberation;
* Awareness of the needs of the members as related to the Strategic Plan; and
* Communicate directly on a regular basis with the Regional Director and the constituents in the region.

A member of the Board is encouraged to attend one or more constituent meetings for the purposes of providing information and promoting the programs of the association, to maintain a linkage to the membership, and to act as a resource to provide guidance in constituent administration, direction, and goals as they relate to AGD. The member will have a plan of action with dates, budget, assignments, and charges to accomplish its job.

It shall be the duty of the Board:

1. To be informed and prepared for Board meetings and participate in online discussions and telephone discussions;
2. To annually review the AGD’s mission, vision, and strategic goals and recommend appropriate modifications to the House of Delegates (HOD);
3. To steer the AGD and its resources toward the achievement of the AGD’s mission and vision;
4. To approve the overall strategic plan, including the definition of the core competency and culture, and to review the summary of the internal and external analysis, and to approve the fiscal goals, objectives, and plans for the future;
5. To oversee the development of organizational structures, processes, and systems that will ensure that AGD resources are utilized to meet member needs;
6. To delegate to the AGD’s staff, councils, and committees the responsibility to develop and implement, with Board approval, member-responsive programs and projects that the Board has deemed relevant to the strategic plan of the association;
7. To communicate a consistent identity, as determined via the approval of the culture and core competency statements and their representation (the brand), to the public and the dental profession;
8. To provide for the maintenance and supervision of AGD Headquarters and all property owned and operated by the AGD;
9. To determine the date, and location, for both the scientific session and the annual meeting, and to establish the registration fees for the scientific session.
10. To cause to be bonded by a surety company all officers and employees of the AGD entrusted with AGD funds;
11. To examine in detail all accounts of the AGD, and to cause the same to be audited by a certified public accountant at least once a year;
12. To supervise preparation of a budget for carrying on the activities of the AGD for each ensuing fiscal year;
13. To review the reports of the councils and committees of the AGD, and to make recommendations concerning such reports to the HOD;
14. To act as a final means of appeal by individuals who have been denied membership in a component or constituent after consideration of the Constitution, Bylaws and Judicial Affairs Council;
15. To approve the selection and employment of an Executive Director; and to participate in the evaluation of said Executive Director;
16. To establish appropriate policy for reimbursement of AGD members for personal expenses incurred while on AGD business;
17. To determine upon recommendations of the President whether any council or committee member shall be removed;
18. To approve honorary members and recipients of other awards that have not been specifically delegated to a particular council or committee of this organization;
19. To establish Fellowship and Mastership fees; Fellowship and Mastership award application fees be increased by 10 percent every three years, beginning in 2018;
20. To determine whether a recommendation should be made to the HOD for removal of any officer;
21. To appoint a group administrator for the AGD’s insurance program;
22. To actively solicit qualified regional nominees for appointment to AGD councils and committees and to submit such in a timely manner;
23. To attend significant AGD events which affect the values, vision, and future of the organization;

The Board’s products or job contributions shall be:

1. The link between the organization and its “ownership”; the Board is accountable as trustees to the entire membership. This includes a role as guardian of the vision and values of the organization, both currently and in the future.

2. Written governing policies which, at the broadest levels, address:

A. *Strategic Plan:* Vision, Mission, Brand Statement, Core Purpose, and Core Values (see section I of this manual).

B. G*overnance Process:* Specification of how the Board conceives, carries out, and monitors its own task (see section II of this manual).

C. *Board-Executive Director Relationship:* How power is delegated, and its proper use monitored (see section III of this manual).

D. *Executive Limitations:* Constraints on executive authority that establish the prudence and ethics boundaries within which all executive activity and decisions must take place (see section III of this manual).

E. *Board Policy Statements*: A written expression of the Board’s wisdom on a topic following dialogue and deliberation. These policies articulate the values that must not be violated and shape staff work.

3. The assurance of Executive Director performance (against policies in 2A and 2D above).

4. Oversee the management of investments.

**Monitoring:** Board Job Description—Review in March

Investments—Includes external report by investment advisor in January

Linkage—Ongoing via a variety of information including surveys, reports, attendance at

meetings, and correspondence

***Policy Type: II.*** *Governance Process*

**E. Duties of the Executive Committee**

1. The purpose of the Executive Committee (EC) of the Board is to act as the interim agency of the Board in the control, management, and administration of the AGD.
2. The AGD EC shall consist of the elected officers of the AGD; President, President-Elect, Vice President, Secretary, Treasurer, Speaker of the House, and Editor. The Speaker of the House and Editor shall not have the right to vote. The Executive Director (ED) is a consultant to the executive committee without the right to vote. The President shall serve as chair with the right to vote only to break a tie.
3. Meetings: The EC shall, in intervals between meetings of the Board, hold such meetings as it may deem proper in order to carry out its functions. The EC may hold meetings by teleconference call or by regularly scheduled meetings set by the President. Emergency sessions may be called by a majority of the members of the committee.
4. Report to the Board: The EC shall submit to the Board, a written record of any meeting or actions it shall take on behalf of the Board.
5. Powers: The EC shall promote and facilitate the attainment of the strategic plan of the Board, prepare business for the Board, help the President to set the agenda for the Board meetings, call special meetings, and shall transact the business of the AGD in the intervals between meetings of the Board. It may spend association funds up to $5,000 on unbudgeted expenses that cannot wait until the next Board meeting.
6. A quorum at any EC meeting shall be at least a majority of the members. All determinations of the committee shall be made by a majority of the voting members present at a meeting duly called and held.
7. The EC shall have the resources and authority appropriate to discharge its duties and responsibilities and to retain special counsel or other experts or consultants, as it deems appropriate, without seeking approval of the Board or management but within the established funding limitations as set by the Board.
8. Members of the EC may be reimbursed for their actual travel expenses according to the AGD travel policy while on official AGD business in accordance with methods for reimbursement as established by the Board.
9. The EC shall approve all events associated with the scientific session. Requests will come to the Executive Committee from the appropriate AGD agency or department, with input from the Executive Director and Scientific Meeting Council. This process will pertain to all events, even those which may have been included in previous annual meetings and scientific sessions, except for those prescribed for in AGD policy.
10. The Speaker of the House, President, and President-Elect will have the authority to approve the schedule for the governance annual meeting.
11. The AGD Executive Committee shall have approval authority for all companies that seek to participate as AGD Corporate Sponsors.
12. If a continuing education organization appeals a decision by the PACE Council to denial or withdraw of approval and requests a review, the EC will review the decision and determine if the PACE Council’s decision to deny or withdraw approval was justified. The decision of the EC will be the final decision.

**Monitoring:** Annually during first EC meeting of the governance year.

***Policy Type: II.*** *Governance Process*

**F. Officer Duties**

**President**

***Job Description/Duties***

* Preside over Board and EC meetings
* Engage the entire Board
* Ambassador of the AGD
* Signature on all official AGD letters
* Leadership recruitment and development
* Communicate the grassroots members’ input and feedback
* Lifelong learner
* Staff motivator
* Sounding board for the Executive Director
* Apolitical
* AGD Spokesperson
* Has check signing privileges
* Media savvy
* To review Executive Director (ED)expenses and to approve those expenses in the Treasurer’s absence
* Facilitate a past Presidents’ forum (example: the annual past Presidents’ breakfast)
* Present the Board evaluation results to the Executive Director along with the past President

***Skill set***

* Facilitation
* Confident public speaker
* Active participation in Board and EC business
* Active participation in Web forum
* Knowledge of AGD structure
* Excellent communication skills
* Technologically adept
* Excellent listening skill
* Organizational skills
* Agenda management skills
* Parliamentary procedure knowledge
* Experience working with employees
* Understanding of role within the team structure
* Time management skills
* Maintain confidentiality
* Ability to see the big picture
* Ability to articulate ideas
* Consultant to councils and committees
* Ability to take criticism and unify people
* Ability to tie up loose ends

**President-Elect**

***Job Description/Duties***

* Study the AGD in order to understand all aspects of the association
* Leadership and communication skills
* Ambassador of the AGD
* Fallback person to President
* If he or she can’t attend a function, assist as needed
* Advocate for EC in communications of decisions to membership
* Lead by empowering others
* Consultant to councils and committees
* Protector of long-term goals
* Support the mission of the President and EC
* Act as a student of the presidency
* Plan all aspects of governance for the following year
* Media savvy

***Skill set***

* Facilitation
* Confident public speaker
* Active participation in Board and EC business
* Active participation in Web forum
* Knowledge of AGD structure
* Excellent communication skills
* Technologically adept
* Excellent listening skills
* Organizational skills
* Agenda management skills
* Knowledge of parliamentary procedure
* Working with employees
* Understanding of role within the team structure
* Time management skills
* Maintain confidentiality
* Ability to see the big picture
* Ability to articulate ideas
* Consultant to councils and committees
* Ability to take criticism and not alienate people
* Ability to tie up loose ends
* Well prepared for presentations

**Vice President**

***Job Description/Duties***

* Study the AGD in order to understand all aspects of the association
* Leadership and communication skills
* Ambassador of the AGD
* Fallback person to President and President-Elect
* If they can’t attend a function, assist as needed.
* Advocate for EC in communications of decisions to membership
* Lead by empowering others
* Prepare well before you have to present
* Consultant to councils and committees
* Protector of long-term goals
* Trained as an AGD spokesperson

***Skill set***

* Facilitation
* Confident public speaker
* Active participation in Board and EC business
* Active participation in Web forum
* Knowledge of AGD structure
* Excellent communication skills
* Technologically adept
* Excellent listening skills
* Organizational skills
* Agenda management skills
* Knowledge of Parliamentary procedure
* Experience working with employees
* Understanding of role within the team structure
* Time management skills
* Maintain confidentiality

**Treasurer**

***Job Description/Duties***

* Approve ED expenses
* Monitor the investment portfolio and financial statements on a monthly basis
* Oversee the production of Budget and Finance, Investment and Audit reports that are provided to the HOD
* Act as liaison to the Investment Committee, Audit Committee and Advocacy Fund
* Be a member of the Budget and Finance Committee
* Work with councils and staff and help them through budgetary process and Member Value Prioritization (MVP) financial analysis of programs and Business Plans.
* Provide an annual report to membership through *AGD Impact,* or another appropriate communications vehicle.
* Provide the Board the necessary information to understand financial statements and financial implications of AIRs
* Support the decisions of the EC and AGD team
* Uncover red flags in the ED’s expense reports and bring them to the EC’s attention

- To report to the EC and Board any irregularities with regard to financial matters

* Can sign AGD checks in emergency situations.

***Skill set***

* Understanding of financial statements
* Understanding of AGD budgetary process
* Understanding of whole organization and the structure of AGD
* Background in financial management
* Ability to work in a group setting
* Active participation
* Understanding of Microsoft Excel

**Secretary**

***Job Description/Duties***

* To serve as a member of the Board and the EC and to assume the responsibility for seeing that all minutes of the EC, Board, HOD are accurate
* To be the custodian of all records and properties pertaining to his or her office
* To countersign all citations, certificates, and testimonials
* To certify, together with the President, all official acts of the AGD
* To conduct all correspondence
* To assist the President when formulating agendas for Board and EC meetings
* To assist the Speaker of the House with the formulation of agendas
* To facilitate the Executive Director evaluation process
* Manage time effectively during Board meetings
* Act as liaison to constituent Executive Directors and secretaries by attending face-to-face meetings and conference calls

***Skill set***

* Computer skills and knowledge of Microsoft programs
* General skills and agenda management skills
* Attention to detail and detail oriented
* Editorial abilities
* Good communication skills
* Active participation
* Creative writing skills
* Knowledge of parliamentary procedure

**Speaker of the House**

***Job Description/Duties***

* Preside over the HOD
* Assist the President in selection of a parliamentarian
* Work with staff to produce a delegate list
* Member of Board and EC
* Work closely with the Secretary and staff to distribute communications and HOD materials and to provide accurate and timely information to the HOD
* Work with staff to plan annual meeting and governance alongside the councils and Board
* Accessible to caucuses
* Work with staff and reference committees—especially the chairs—in preparation for the HOD to develop reference committee reports.
* Remain apolitical
* Active in the instruction of the HOD
  + Point of personal privilege microphone
  + Rule delegates out of order
  + Provide training for first-time delegates
  + Provide training for reference committees
  + Maintain order in the HOD
  + Properly inform the HOD of procedural matters
* Monitor progress of HOD actions/concerns
* Assist in keeping the Board running smoothly with parliamentary procedure

***Skill set***

* Fairness
* Full knowledge of parliamentary procedure
* Facilitation
* Knowledgeable of issues and controversies before the HOD
* Knowledge of the Bylaws
* Consensus building
* Ability to think on your feet
* Instruction/education skills

**Editor**

***Job Description/Duties***

* Organize the message of AGD
* Help accomplish the goal of image and everything included within
* Solicit and obtain feedback from membership via website and publications
* Identify Communications Council articles for PIO
* Review website content
* Review materials for publications with a professional product
* Offer professional input
* Provide historical background for the AGD
* Be a voice of conscience
* Remain apolitical
* Present the message of the AGD through the website and PIO
* Serve as the liaison to the Communications Council
* Maintain membership and participation in the American Association of Dental Editors & Journalists
* Serve as liaison to the Public and Professional Relations Division
* Develop AGD members’ editorial skills for possible succession of office

***Skill set***

* Understanding of editorial process
* Scientific background (due to the need of knowledge for the review of knowledge)
* Master’s degree in science would provide sufficient scientific background
* Ability to work with the Director, Communications in order to advocate publications and advertising
* Excellent communication skills
* Proficient with all Microsoft programs
* Conscious of time constraints
* Detail oriented
* Good listener
* Creative writing skills
* Ability to delegate responsibility effectively
* Knowledge of the scientific process of article review

**Monitoring:** Annually during first EC meeting of the governance year.

***Policy Type: II.*** *Governance Process*

**G. Executive Committee Operations**

* The EC will establish and annually review a set of EC position skills in order to inform future leaders of the qualities necessary to excel in those positions.
* The EC minutes will be posted online for review within three (3) weeks of the meeting. Staff should have the minutes ready for review by the Executive Director, President, Secretary and Speaker of the House two (2) weeks after the meeting. The Executive Director, President, Secretary and Speaker of the House should complete the review within four (4) days. Staff will have three (3) days to finalize the minutes so the minutes can be posted online for review within three (3) weeks of the meeting. There will be a one (1) week comment period, during which EC members may comment or recommend editions. At the end of the week, no further comments or edits will be permitted and a survey will be posted to the EC for a vote. If the survey is not completed with 100% participation one (1) week after posting, the minutes will be included in the next EC agenda. If approved, the minutes will be posted to the Board, Regional Directors, House of Delegates and Council Chairs via the AGD web platform within three (3) business days. If not approved, the minutes will be repopulated with the EC for discussion and correction. After one (1) week of discussion and editing, the EC will again vote on the minutes. This process will repeat until the minutes are accepted.

**Monitoring:** Annually during first EC meeting of the governance year.

Approved Board Zoom March 26, 2019

***Policy Type: II.*** *Governance Process*

**H. Board Liaison Expectations**

1. Work with all the leaders and staff.
2. Become familiar with the council charge and the council direction.
3. Serve and be present at the council meetings.
4. Monitor the council’s Connect Community page to which they have been assigned.
5. Be a non-voting consultant to that council and bring to the Board the understanding and the point of view of their specific council.
6. Bring value to the council and Board perspective.
7. Refrain from direct discussions with staff, members, and guests, except as recognized by the chair.
8. Encouraged to have open discussions with council chairs before or after the meeting.
9. Encourage dialogue between councils through the Board liaisons, council chairs to facilitate the charge of the council and the AGD moving forward.
10. Be mindful of the fact that liaisons are invited guests and that the chair is running the meeting.
11. Base opinions on their knowledge of the Board and strategic plan, and remember they are serving as representatives of the Board during the meeting and should stay within that boundary.
12. When giving a personal opinion, the liaison should stress and make it clear to all that this is a personal opinion as an AGD member.

**Monitoring:** Board Liaison Duties—Review in March

***Policy Type: II.*** *Governance Process*

**I. Role of the Regional Director**

**The Role of the AGD Regional Director**

The role of the Regional Director (RD) is to assist the constituent leaders in their region with activities and AGD programs dealing with membership recruitment and retention, identification and training of leaders, dental education, and legislative/regulatory issues. The Regional Directors receive direction from the AGD Board with respect to the charge, responsibility and direction. The Regional Directors should comply with the Region Constitution and Bylaws. The Regional Director should track the information from the AGD to constituent members and facilitate submission of constituent reporting and data collection in a timely manner to ensure a robust and effective region.

The RD has the responsibility to:

1.) Support the constituents

a) Assist as needed in the communication between the AGD and the

constituent leadership throughout the governance year.

b) Ensure that regional elections occur according to the Region’s

Constitution and Bylaws.

c) Assist the constituent leaders in planning of regional caucuses and

assist the leaders in running the caucus meetings which follow

proper parliamentary procedure

d) Assure that his/her regional delegates are properly informed and

prepared for the House of Delegates

e) Communicate regularly with his/her Trustee and be knowledgeable

on AGD programs and resources for utilization within the

constituents.

f) Assist the constituents in membership recruitment and retention

programs.

g) Attend constituent and component board meetings and assist in

idea and information exchange throughout the region and to help

with setting goals and strategic plans of the region and

constituents.

h) Assist the constituents and regions in identifying goals through

annual planning and budgeting.

i) Mentor future leadership of constituent and regional leadership.

j) Insure that constituent and region Bylaws are not in conflict with

AGD Bylaws.

k) Consistent with regional bylaws and other operating procedures, the

Regional Director shall serve as the presiding officer of any regional

caucuses of his or her region, unless otherwise specified by the

region.

2.) Train Leaders

a) Cultivate future leaders within the constituent/region by having the

engagement of the leaders and future leaders in the oversight of the

constituents and caucuses. The RDs must recommend appointments

to AGD councils and committees from the constituent/region and

update this information frequently to the AGD Presidential line.

3.) Provide resources for successful continuing education

a) Assist constituent leadership in understanding the resources

available for CE opportunities within the AGD.

b) Encourage development of Fellows and Masters within constituent

and regions.

4.) Encourage and assist, when necessary, AGD government relations and regulatory efforts within constituents.

***Policy Type: II.*** *Governance Process*

**J. Congressional Liaison**

A Congressional Liaison shall be appointed by the President. The Liaison shall be an AGD member in good standing, with the following experience:

1. Have served on the LGA Council or in some other leadership role within AGD.
2. Has attended/participated in at least three AGD Hill Days.
3. Has lobbied Congress, state legislatures, or state dental boards at least five times within the past 10 years.
4. A Liaison shall serve for not more than two three-year terms equaling six (6) years. Such service may or may not be contiguous. The President shall appoint said liaison.

The duties of the Congressional Liaison shall be:

1. Works collaboratively with AGD’s contract lobbyist in Washington D.C. on strategies to achieve AGD’s legislative priorities.
2. Develops and maintains a cadre of AGD members who have close personal contact with top federal elected legislators from their respective states, and relays this information to the Associate Executive Director, Public Affairs (or other appropriate staff) for continued growth of the AGD’s advocacy network
3. Represents the AGD at appropriate events in Washington, D.C. and locally in order to further promote and build relationships with legislators.
4. Promotes AGD’s position on legislative and regulatory issues directly with top federal elected legislators and senior appointed officials.
5. Serves as a consultant to the Legislative and Governmental Affairs Council without the right to vote.
6. Brings issues of importance to the Executive Committee and the Board in a timely manner via communications done remotely without the need for travel, unless deemed necessary. Travel to present in front of the Executive Committee and the Board to be incorporated into future budgets thereafter as appropriate.
7. Accompanies the AGD President and other AGD officers on Congressional visits when appropriate and feasible.

There shall be a sunset review of this position every two years.

Approved Board Zoom December 19, 2017

***Policy Type: II.*** *Governance Process*

**K. President’s Role**

The role of the President is to ensure the integrity of the Board’s process and to represent the Board and House of Delegates to outside parties. The President is the only Board member authorized to speak for the Board (beyond simply reporting Board decisions), other than in rare and specifically authorized instances where others have been so authorized.

1. The President strives to ensure that the Board behaves in accordance with its own rules and those legitimately imposed upon it from outside the organization.

A. Meeting discussion content will only be those issues which, according to Board policy, clearly belong to the Board to decide, not the Executive Director.

B. Deliberation will be fair, open, and thorough, but also efficient, timely, orderly, and relevant. Current AGD parliamentary authority rules are observed except when the Board supersedes them.

2. The authority of the President consists of making decisions on behalf of the Board. This authority extends to all decisions that fall within and are consistent with any reasonable interpretation of Board and House of Delegates policies on governance process and on the Board-Executive Director relationship, except when the Board specifically delegates portions of this authority to others.

A. The President is empowered to chair Board meetings with all the commonly accepted power of that position (e.g., ruling, recognizing).

B. The President has no authority to make decisions about policies created by the Board within Strategic Outcomes and Executive Limitations policy areas. Therefore, the President has no personal authority to supervise or direct the Executive Director.

C. The President will represent the Board and House of Delegates to outside parties in announcing Board-stated positions and in stating presidential decisions and interpretations within the area delegated to him or her.

**Monitoring:** Presidents Role—Review in June

***Policy Type: II.*** *Governance Process*

**L. Board Committee and Task Force Principles**

The Board may establish committees or task forces to help carry out its responsibilities. To preserve Board holism, committees or task forces will be used sparingly, only when other methods have been deemed inadequate. Committees or task forces will be used so as to minimally interfere with the wholeness of the Board's job, and so as never to supersede the Board’s authority and delegation to the Executive Director.

1. Board committees or task forces may not speak or act for the Board except when formally given such authority for specific and time-limited purposes. Expectations and authority will be carefully stated in order to not conflict with authority delegated to the Executive Director and others.

2. Board committees or task forces are developed to accomplish specific tasks and projects, the results of which will help the Board do its job and accomplish its goals. Committees or task forces ordinarily will assist the Board by preparing policy alternatives and implications for Board deliberation.

3. Board committees or task forces are to avoid over-identification with organizational parts rather than the whole. Therefore, a Board committee or task force that has helped the Board create policy on some topic will not be used to monitor organizational performance on that same subject.

4. Board committees or task forces cannot exercise authority over staff. In keeping with the Board's broader focus, Board committees or task forces normally will not have direct dealings with current staff operations.

5. This policy applies only to committees or task forces that are formed by Board action, whether or not the committees or task forces include non-Board members. It does not apply to staff committees or task forces formed under the authority of the Executive Director.

**Monitoring:** Ongoing via reports to the Board

***Policy Type: II.*** *Governance Process*

**M. Charges of Council and Committees**

Councils and Committees

Section 1. Structure and Terms of Office

A. The incoming President shall make, with the approval of the Board, council and committee appointments in accordance with Chapter IX, Section 2.A.4. of the Bylaws.

B. All AGD councils shall be constituted so that an equal number of active and/or emeriti members complete their three-year terms each year.

C. No member of a council may serve more than two (2) consecutive three (3) year terms on a particular council, nor may any member serve on more than one (1) council at a given time. When someone is appointed to an AGD leadership position, that appointment will count as his or her first term, unless there is less than one (1) year remaining, even if it is to fill someone else’s unexpired term. Upon completion of that term, that person then would be eligible for one (1) additional term in that particular leadership position.

D. Each incoming President shall designate, with approval of the Board, one (1) particular council member to serve as chairperson.

E. All written reports presented by an individual, task force, council, or committee relating to the business or actions of the Academy of General Dentistry be signed either physically or electronically by the reporting individual or the chair of a reporting task force, council, or committee to certify the accuracy of the report.

F. Council appointments shall expire at the end of the appropriate annual meeting, generally almost three (3) years after an active or emeritus member has been named to serve on the council. A council or committee member may be removed with the approval of the President, President-Elect, and the ratification of the Board for the following reasons:

1. Unethical behavior;
2. Disruptive behavior;
3. Failure to attend scheduled meetings;
4. Failure to accomplish assigned work.

G. Operations and timelines: Objective: To engage in productive activities throughout the year and bring actionable items to the Board in an expedited manner. Immediately after the annual meeting the chair will email or write each new council member to:

1. Welcome them and provide contact information and preliminary schedules.
2. Explain the charge and functioning of the council
3. Inquire about any particular skill set or interest the new member has which will assist the council.

Increased efficiencies timeline Strategies:

1. It is strongly suggested that within two weeks following the annual meeting, the chair will have a conference call or web based call with the entire council, to begin setting the direction for the coming year, identify specific items for development and review, plus begin big picture discussions and assign any workgroups.
2. Work by email, conference call, or web based calls periodically such that the council can develop and make decisions on most actionable items before the Joint Council Meeting (JCM) or have them into the draft versions for discussion and further development by the JCM
3. Bring all items that have been finalized throughout the year, including the housekeeping and update AIRs, to the Board as soon as they are ready and do not wait until after the JCM. Projects and actions should be finalized as an ongoing process versus trying to deal with all at the JCM.
4. The goal is to make the JCM focus on large goal discussions and items relative to the strategic plan and future actions in addition to those issues that have to be at a face-to-face meeting. New ideas should come from those discussions, recommendations for new direction projects and activities, and clear actionable goals set. Those new ideas should begin refinement at the JCM and work should continue by email, conference calls, or web based calls so that the final action items can be transmitted to the Board or drafts can be developed and preliminarily discussed prior to the next JCM.

Section 2. The composition and responsibilities of each council are:

A. Communications Council

The Communications Council shall consist of 10 members, including the chairperson. The AGD’s Editor and Associate Editor who shall serve as consultants and attend meetings as mandated by the Bylaws.

It shall be the duty of the council:

* To ensure that the AGD has a comprehensive communications strategy in place to inform each of its key stakeholders;
* To ensure that the AGD utilizes current and new media vehicles to create integrated campaigns that communicate AGD messages in a cohesive fashion to execute that strategy;
* To manage, conduct, and disseminate market research in support of organizational decision making;
* To efficiently use all communication vehicles and applications to communicate the AGD brand;
* To oversee and facilitate technology innovations and growth throughout all areas of the AGD;
* To oversee the AGD’s print and online content, both to the profession and to the public;
* To work with media representatives, constituent leaders, and members of the health care community to promote the AGD and disseminate oral health information to the public;
* To act as consultants of communications-related activities, such as advertising, policies, proposals, partnerships.
* To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
* Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
* AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms, and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committeefor further review.
* All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
* Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

B. Constitution, Bylaws and Judicial Affairs Council

1. The Constitution, Bylaws and Judicial Affairs Council shall be composed of six (6) members including the chairperson.

2. It shall be the duty of this council:

a. To study and make recommendations to both the Board and the HOD on any proposed change in the Constitution and Bylaws by means of a quorum of the committee meeting by either conference call or conference video;

b. To recommend amendments or interpretations of the Constitution and Bylaws of the AGD;

c. To maintain a file in the AGD office of copies of constituent and component AGD’s constitutions and bylaws;

d. To hear appeals on censure, suspension of membership, or expulsion from a constituent AGD;

e. To act on the appeals from dentists who have been denied access to AGD membership by a constituent Board;

f. To keep minutes of any disciplinary proceedings;

1. Monitoring any necessary Bylaws changes in the regional governance structure of Regions 15 and 16.
2. To annually review Article IX, Principles of Ethics, of the AGD Constitution and to report to the appropriate Board Meeting annually any recommended changes...."

3. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

4. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

1. Annually review Article IX, Principle of Ethics of the AGD Constitution and Bylaws, and an AIR be sent to the Board.
2. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms, and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committeefor further review.
3. All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
4. Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

C. Dental Education Council

1. The Dental Education Council shall consist of nine (9) members, including the chairperson.

2. It shall be the duty of the council:

a. To guide, approve, initiate, research and develop programs of continuing education in accordance with policies established by the HOD;

b. To evaluate and recommend candidates for Fellowship, Mastership, and the Lifelong Learning and Service Recognition programs, and the Thaddeus V. Weclew award and to inform each candidate of his or her acceptance in writing.

c. To coordinate and recommend policy concerning the registration of members’ postdoctoral hours for the membership's Fellowship and Mastership and Lifelong Learning & Service Recognition (LLSR) requirements;

d. To initiate, review, coordinate, and recommend programs and policies that would enhance and/or measure the quality of continuing education available to AGD members;

e. To initiate and respond to communications with the American Dental Education Association and the Commission on Dental Accreditation or any other agency as appropriate to ensure that the undergraduate and postgraduate training of dental professionals is responsive to the needs of practicing general dentists.

f. Execute a formal speaker evaluation process inclusive of written documentation and metrics as specified by the Dental Education Council. (to be kept at HQ). Reimbursement for meeting attendance is contingent upon submitting the written evaluation within 30 days of said meeting.

3. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

1. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
2. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.
3. All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
4. Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

D. Dental Practice Council

1. The Dental Practice Council shall consist of ten (10) members, including the chairperson.

2. It shall be the duty of the council:

* 1. To advocate for the general dentist as well as the public on all factors that affect the practice of general dentistry;
  2. To evaluate, study, and disseminate information on the planning, administration, and financing of various dental care programs which might place limitations on the general practitioner and make recommendations where appropriate;
  3. To investigate and study prepayment and post payment plans for dental care and make recommendations where appropriate;
  4. To evaluate, study, and disseminate information on all matters pertaining to the dental health of the public and make recommendations where appropriate;
  5. To evaluate, study, and disseminate information involving dental informatics, materials, and devices and make recommendations as appropriate.
  6. To evaluate, study and disseminate information on the planning, management, administration, economics and finances of the practice of dentistry.

3. The chairperson of the Legislative and Governmental Affairs Council may serve as a consultant to this council without the right to vote.

1. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
2. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
3. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.
4. All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
5. Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

E. Examination Council

1. The Examination Council shall consist of six (6) members, including the chairperson, the chairs of the Examination Development Committee, Examination Assessment Committee and Examination Materials Committee, chair of the Self-Instruction Committee whose terms will coincide with that of their office term (Per the Bylaws, Examination Council members are not term limited), and one (1) other member who has served at least one (1) term on an Examination Committee or Self-Instruction Committee. All members of the council must have achieved Fellowship or Mastership status within the organization.

2. It shall be the duty of the council:

a. To be responsible for overseeing the construction, administration, scoring, and security of the Fellowship Examination;

b. To help develop and administer, in conjunction with the Examination Development Committee, Examination Assessment Committee and Examination Materials Committee, any other examination, quizzes, or instruments of measurement when so directed by the HOD, or Board;

c. To audit the Fellowship Review Course annually to ensure the quality of the course materials is consistent with the overall premise of the Fellowship Examination;

d. To recommend and enforce policies pertaining to examinations for which it is responsible.

e. To evaluate the quality and effectiveness of *General Dentistry’s* Self-Instruction program once a year.

1. A quorum of the council and the examination committees shall be a majority of members present.
2. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
3. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
4. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committeefor further review.
5. All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
6. Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

F. Group Benefits Council

1. The Group Benefits Council shall consist of six (6) members, including the chairperson.

2. It shall be the duty of the council:

a. To monitor on a continual basis those group membership benefits offered by the AGD to determine their appropriateness for inclusion in the group benefit programs;

b. To identify, evaluate, and recommend group benefit programs to the Board which will provide added value to AGD membership;

c. To choose the vendors for the AGD’s group benefit programs subject to the approval of the AGD’s Board;

1. Group Benefits may be in the form of a member discount, special availability, or revenue to the AGD;
2. To collaborate with input from other Councils when considering AGD member benefits to be a part of the affinity program.

3. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

1. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
2. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committeefor further review.
3. All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
4. Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

G. Legislative and Governmental Affairs Council

1. The Legislative and Governmental Affairs Council shall be composed of nine (9) members, including the chairperson. The AGD Congressional Liaison is a non-voting consultant.
2. It shall be the duty of this council:
3. To advocate for the general dentist as well as the public on all regulatory and legislative matters that affect the practice of general dentistry.
4. To study legislation that affects the dental profession and the public which it serves;
5. To convey its recommendations to the Board for implementation.
6. The chairperson of the Dental Practice Council may serve as a consultant to the Legislative and Governmental Affairs Council without the right to vote.
7. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
8. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
9. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.
10. All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
11. Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

H. Membership Council

1. The Membership Council shall consist of eight (8) members, including the chairperson.

2. It shall be the duty of this council:

a. To provide guidelines for accepting and retaining members in the AGD and to assist the various constituent and component AGDs in implementing these guidelines when necessary;

b. To determine whether an exception should be granted to an active member for failure to comply with the requirement that seventy-five (75) hours of continuing education be taken within the last three-year period, as embodied in Chapter 1, Section 1.A.4.a.of the Bylaws, and for associate members in accordance with Chapter 1, Section 1.D.3.of the Bylaws. This council has the authority to grant exceptions to this continuing education requirement in accordance with policy established by the Board;

c. To periodically review qualifications for membership and recommend appropriate changes to the Board and HOD;

d. To plan, develop, and coordinate student membership recruitment and retention programs and assist in implementing them on a national, constituent, and component level;

e. To study and make recommendations upon all matters pertaining to international activities, with the exception of those delegated to the Scientific Meeting Council in these Bylaws;

f. To act upon an application for associate membership from those areas where there is no constituent AGD;

g. To determine the form to be used for membership applications.

h. To help develop and administer, in conjunction with the New Dentist Committee, any other programs, initiatives, and services when so directed by the HOD, or Board;

3. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

1. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
2. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.
3. All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
4. Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

I. Program Approval for Continuing Education (PACE) Council

1. The Program Approval for Continuing Education (PACE) Council shall consist of eighteen (18) members, including the chairperson, and up to three (3) consultants. Consultants serve a one year term with no restrictions on the number of terms served. Consultants must have previously served as a member of the PACE Council for a minimum of two (2) years during the immediate past ten (10) years before the first appointment. Consultants act as the local approval representative for constituents who have not appointed a local representative and assist the national council in national reviews when an excessively high number of applications are received during a single review cycle. Consultants are not budgeted to attend council meetings, nor do they participate in any decisions/recommendations made by the council.

2. It shall be the duty of this council:

1. To administer the Program Approval for Continuing Education;
2. To evaluate all applications for program provider approval, and grant or deny approval for each;
3. To provide counsel to AGD continuing dental education program providers regarding the procedures and requirements necessary for obtaining program provider approval;
4. To assist constituent academies in understanding and applying PACE Standards and Criteria.
5. To develop and promote tools to assist constituent academies in promoting local PACE approval.
6. To assist constituent academies in establishing rules and procedures for approval of local and state level continuing education program providers;
7. To coordinate and recommend policies concerning approval of AGD continuing dental education program providers.

3. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

4. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

1. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.
2. All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
3. Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

J. Scientific Meeting Council

1.   The Scientific Meeting Council shall consist of nine (9) members, including the Chairperson, the LAC Chairpersons for the next three (3) scientific sessions and five (5) at-large members.

* + - * 1. Within ninety days (90) of assuming office, the President-Elect shall designate one member of the council to serve as Program Chair for the subsequent year’s meeting, with input from the SMC Chairperson.

2.    It shall be the duty of the council to:

a. Plan all programs and events for the scientific session for the AGD, with consultation of the President of that year’s meeting on all social events.

b.    Develop an educational curriculum that will draw local, national and international attendance to the scientific session. Work in consultation with the Dental Education Council and the Board.

c.    Establish the goals and objectives of the annual meeting scientific session and conduct an annual review of the goals and objectives.

d.    Review the scientific session meeting budget and recommend changes for future relevant budgets (i.e. honorariums, registration fees, social activities, keynote speakers, food and beverage, exhibit fees, etc.)

1. Approve future site selection criteria. Upon review of the staff recommendation—which weigh the results received from various cities against these criteria—make recommendations to the Board concerning future meeting dates and sites.
2. Recommend to the Board alternate ways to supplement the budget if necessary to support the scientific session expenses and increase profitability.
3. Execute a formal speaker evaluation process inclusive of written documentation and metrics as specified by the Scientific Meeting Council. (to be kept at HQ). Reimbursement for meeting attendance is contingent upon submitting the written evaluation within 30 days of said meeting.

3.   The President, President-Elect, and Vice President shall be consultants to the council with the responsibility for attending all council meetings.

4.   The council shall be assisted in its endeavor to plan and implement future scientific sessions with the following:

a.    A Local Advisory Committee (LAC) which shall consist of four (4) members encompassing three (3) members and one (1) chairperson with preference given to members from the state or province in which the scientific session is to be held. The chairperson of this committee shall be a member designated by the Vice President within thirty (30) days of the time he or she is elected to office. The LAC chairperson shall serve as one of the nine (9) voting members on the Scientific Meeting Council. The remaining members of the committee are to be selected in consultation with the President-Elect. The purpose of this committee will be to recommend to SMC local area speakers that will draw local attendance, provide input regarding specific state or provincial continuing education needs/requirements, suggest local tours and social event ideas, and recruit local course manager volunteers.

1. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
2. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
3. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.
4. All HOD policies associated with or assigned to the council or committee shall be monitored and evaluated for relevancy on an annual basis, with the council proposing amendments or recission to the HOD as appropriate, as well as status reporting in its annual report to the Board and HOD.
5. Resolved, that unless there is a legal or good business reason, all new policies shall be submitted for approval to the Board and/or HOD with an automatic five (5) year sunset provision.

Section 3. Committees

A. Advocacy Fund Committee

* + 1. The Advocacy Fund Committee shall consist of three (3) members; one (1) member shall be the incumbent Treasurer; one (1) member shall be the incumbent Chair of the Budget & Finance Committee; one (1) member serving a one year term, shall be a Trustee who is not the Chair of the Budget & Finance Committee, but who ideally has advocacy experience. The President shall appoint one of the aforementioned members as chair.
    2. It shall be the duty of this committee:

1. To monitor the Advocacy Fund’s balance;
2. To determine the Advocacy Fund’s appropriate balance on a yearly basis;
3. To ensure all administrative details of the fund are executed, inclusive of marketing efforts;
4. Other appropriate actions relative to the fund which are not covered by other entities designated by the Advocacy Fund Implementation Plan adopted by the Board in Jan. 2010., and be it further

3. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

4. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

5. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

B. Audit Committee

The Audit Committee is appointed by the President under direction of the Board and has responsibility for:

* Monitoring the integrity of the financial statements and internal controls of the AGD via the audit process.
* Oversight of the AGD’s external auditors.
* Mediation of disagreements between management and the auditors regarding financial reporting.
* The determination of the independence of the external auditors.

The Audit Committee should be fully independent. “Independent” means that none of the members of the Audit Committee are part of the management team, and the Committee is free to act in its oversight functions throughout the organization without undue outside influence or coercion.

The Audit Committee shall be composed of three members:

* One member serves as chair as appointed by the President.
* One member must have expertise to serve as the financial and accounting expert on the committee.
* One member must be knowledgeable about AGD structure and functions and in the areas of internal controls, compliance, ethics and management.

The Treasurer; Executive Director; and Vice President, Finance; shall serve as consultants to this Committee and be present at each meeting as directed by the chair.

The Audit Committee shall have the authority to retain special legal, accounting or other consultants to advise the Committee. The Audit Committee may request any officer or employee of the AGD or the AGD’s outside counsel or external auditor to attend a meeting of the committee or to meet with any member of, or consultant to, the committee. However, any needs of the committee that would result in financial obligation to the AGD outside of that which is already budgeted to this committee would have to be reviewed and accepted by the Board or Executive Committee prior to the obligation. The Audit Committee may seek any information it requires from employees of the AGD – all of whom are directed to cooperate with the committee’s requests.

The Audit Committee shall have the authority to request whatever additional information it requires, such as documentation, receipts or explanation, as part of its review of expenses and allotments.

The Audit Committee shall report to the Board at least twice annually. If deemed necessary, the Audit Committee may also report directly to the House of Delegates.

Responsibilities of the Audit Committee include:

1. Review and reassess the adequacy of this Charge annually and recommend any proposed changes to the Board for approval.
2. Review the Code of Conduct and Whistleblower Policies annually (along with the DRC) and recommend any proposed changes to the Board for approval.
3. Review the annual audited financial statements with management, including major issues regarding accounting and auditing principles and practices as well as the adequacy of internal controls that could significantly affect the AGD’s financial statements.
4. Review major changes to the AGD’s auditing and accounting principles and practices as suggested by the external auditing firm or management.
5. Direct the appointment of the external auditor, which is ultimately accountable to the Audit Committee.
6. Approve the fees to be paid to the external auditor subject to Board approval.
7. Approve the annual Audit Scope.
8. Review with the external auditor, any problems or difficulties the auditor may have encountered, and any management letter provided by the auditor and the AGD’s response to that letter. Such review should include:
9. Any difficulties encountered in the course of the audit work, including any restrictions on the scope of activities or access to required information
10. Any disagreements between management and the external auditors that need to be mediated by the Audit Committee.
11. Pre-approve services to be performed by the AGD’s external auditors. The responsibilities of pre-approval may be designated to one member of the Audit Committee who, after giving such pre-approval, must report to the full committee.
12. Review any and all reports issued by the external auditors, with respect to the AGD’s financial statement and critical accounting policies
13. Review with staff liaison and management the process for communicating the financial implications of the Code of Conduct to AGD personnel, volunteers, and the DRC and Board and monitoring compliance therewith.
14. Receive updates from management and AGD legal counsel regarding compliance matters and/or any significant risks or exposures facing the organization.
15. Establish a process for receiving, processing, tracking, communicating, and investigating reports of concerns regarding questionable accounting, internal controls, audit matters, fraud, or financial implications of the Code of Conduct.
16. Review the AGD’s internal control system including information technology security and control.
17. Discuss with management the AGD’s policies with respect to risk assessment and risk management.
18. Review with each public accounting firm that performs an audit:
19. All critical accounting policies and practices used by the organization
20. All alternative treatments of financial information within generally accepted accounting principles that have been discussed with management of the organization, the ramifications of each alternative, and the treatment preferred by the organization.
21. Inquire of the Executive Director regarding the sources of support and revenue of the organization from a subjective as well as an objective standpoint.
22. Review with management the policies and procedures with respect to officers, key employees (Executive Director, and AGD staff person in charge of Finance), disqualified persons as defined by the IRS, expense accounts, and perks, including excess benefit transactions.
23. Conduct executive sessions with the outside auditors on an annual basis and with the Executive Director or legal counsel as desired by the committee.

While the Audit Committee has the responsibilities and powers set forth in this Charge, it is not the duty of the Audit Committee to plan or conduct audits or to determine that AGD’s financial statements are complete and accurate and are in accordance with generally accepted accounting principles. This is the responsibility of management and the independent auditor.

To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Audit Committee for further review. If an unresolved conflict of interest is found, it will be turned over to the Dispute Resolution Committee for resolution.

C. Awards Committee

1. The Awards Committee shall consist of five (5) members, including the chairperson. The committee shall be composed of an AGD Past President serving as chairperson, three (3) AGD past Presidents, the Regional Director chair, and a trustee (non-voting member).

2. It shall be the duty of the committee:

a. To be responsible for all aspects of the AGD Achievement Awards\*;

1. Review/add or delete award categories;

2. Develop award criteria;

3. Submit to the Board the list of nominees received to allow for the Board to share their concerns, if any, about the nominees.

4. After the list of nominees have been vetted by the Board, the committee shall select the final award recipients to be ratified by the Board.

b. Approve marketing plan and other items as determined;

3. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

4. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

5. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

*\*The Dental Education Council will continue to select the Weclew Award winner.*

D. Budget and Finance Committee

1.   This committee shall assist in preparation of the budget and determine how to best conserve and utilize AGD funds.

2.   The Budget and Finance Committee including the chair and vice chair shall be appointed by the President-Elect with the approval of the Board at the meeting immediately following the adjournment of the House of Delegates. This committee shall be composed of the Treasurer plus four (4) other members, of which at least two (2) members must be trustees.

3.   Appointments to this committee should be made with consideration given to the following:

1. At least some members should have prior Budget and Finance Committee experience;
2. An appointee should have a good understanding of the AGD, including its current programs and structure;
3. If a non-trustee is appointed, he or she should have prior budget and finance experience or appropriate expertise and should be provided with appropriate information/reports during the course of the year, which would keep this committee member informed.

4.   The Executive Director shall serve as a consultant to this committee.

5. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

6. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

7. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms, and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

E. Compensation Committee

1. The Compensation Committee shall consist of five members in total including: four (4) members of the Board, including the chairperson, plus the immediate past president. The AGD Secretary, Treasurer, Executive Director, and a Professional Executive Recruiter in the Association industry shall serve as consultants. The consultant’s role is to provide appropriate information as requested. Consultants do not have a vote.

a. The Compensation Committee shall be appointed by the President with the approval of the Board at the meeting immediately following the adjournment of the House of Delegates.

b. Appointments to this committee should be made with consideration given to the following:

* + - 1. Members should be selected from those in their second or third year on the Board and may serve up to a maximum of two (2) one (1)-year terms on the Compensation Committee. Members shall be selected from both the EC and Trustees equally.

2. An appointee should have a good understanding of the AGD, including its current programs and structure.

* + 1. When possible, consideration should be given to appoint at least one member of the committee who has financial responsibility for running an office employing at least 50 or more employees.
    2. The Professional Executive Recruiter in the Association industry shall be selected by the president, president-elect, and vice president at least 2 months prior to the Executive Director’s work anniversary date. The Executive Director will provide a list of recruiters to select from for the president, president-elect, and vice president.
    3. The chair of the Compensation Committee should be in the second or third year of their term on the Board.

1. Committee Charge:
2. Review salary comparisons and averages for the Chicago area for all key AGD employees, (director level and above);
3. Review benefits comparisons and averages for the Chicago area for all key AGD employees, (director level and above);
4. Review staff size comparisons for non-profit associations within our budgetary parameters;
5. Evaluate and make a recommendation for the ED discretionary bonus and salary after all results of evaluation are collated;
6. Evaluation and updating of ED contract;
7. Evaluate the stipends of the EC.
8. This committee will meet by either conference call and/or e-mail and each meeting shall be considered highly confidential.
9. Timeline: The committee shall present salary and benefit comparisons as outlined in letters a, b and c above at least once yearly no later than May 31 for the use of the ED in determination of employee salary and benefit packages.
   1. Recommendations for any ED discretionary bonus and salary will be reported in the December report after collation of all evaluation tools by the AGD Secretary. Though this is under the purview of the Secretary, this process should be completed no later than November 30th, for final evaluation of the Compensation Committee. This recommendation will be offered to the Board - as determined by the Board Policy Type III C 4 - who then will use this recommendation to determine the yearly discretionary bonus of the ED.

5. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

1. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
2. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

F. Credentials and Elections Committee

1. The Credentials and Elections Committee shall consist of five (5) members, including a chairperson and vice chairperson, appointed by the President-Elect and confirmed by the Board, serving a one-year term, with no restrictions on the number of terms served. The Chairperson of the Committee shall have previously served on the committee (council) for at least one year during the past three years.
2. It shall be the duty of this committee:

a. RECORDS: The committee will be responsible for collecting and recording admission for each House of Delegates (HOD) function. Eligibility for compensation is based upon a delegate’s (or his or her alternate delegate) attendance at all sessions of the HOD.

b. SECURITY: To maintain proper security of the HOD, the council will assume the responsibility of assisting with the setup of the HOD. The council will make sure the HOD is properly cordoned off, the quorum system is properly placed, floor and table signs are properly positioned, and handouts are correctly placed at each place.

c. QUORUM: The council then must determine that a quorum is present. The quorum consists of a simple majority of duly elected and certified delegates or their alternates representing a simple majority of the regions.

d. VERIFICATION: The council will assume the responsibility for seating any alternates, and be certain that each constituent is represented in proportion to its size.

e. COUNTING VOTES: The council will assume the responsibility for monitoring any standing votes in the HOD to be sure that only delegates count off when the serpentine vote is used. One observer per candidate may be appointed to view the vote counting.

f. REFERENCE COMMITTEE REPORTS: The council will assume the responsibility for distributing Reference Committee reports.

g. ELECTION: If a race becomes contested, the council will assume the responsibility for conducting the election of officers (at a time to be determined), counting votes (but not reporting vote totals) and communicating the name of the winner. The Speaker of the House, in conjunction with the Executive Committee shall determine where, when and how the results are announced.

h. APPROVAL: The council is responsible for approving anything that is proposed for distribution with the HOD and then taking the necessary steps to see that it is distributed. This includes, but is not limited to, campaign brochures, notices of courses, and notices of other functions and meetings.

1. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
2. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
3. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.
4. HOD policy 2014:116H-H-6 shall be interpreted, including but not limited to, as follows:

Distribution of commercial literature

*2014:116H-H-6*

*“Resolved, that 98:1-H-7 be amended following approval of the separation of governance and the scientific session.”*

*“Resolved, that the distribution of literature concerning dental meetings be limited to that portion of the exhibit hall designed for that purpose at the AGD’s scientific session, and be it further*

*Resolved, that commercial interests not be allowed to have literature distributed in the AGD House of Delegates at the Annual Meeting, and be it further*

*Resolved, that the Credentials and Elections Committee be given the responsibility for determining what other materials may be distributed to the House including the scrutiny of candidate materials to see that they comply with the AGD Election Guidelines, and be it further*

*Resolved, that the AGD’s Executive Director and Speaker of the House determine whether literature concerning business being considered by the House is appropriate for distribution or display on the screen.”*

*“Resolved, that 98:1-H-7 be amended following approval of the separation of governance and the scientific session.”*

*“Resolved, that the distribution of literature concerning dental meetings be limited to that portion of the exhibit hall designed for that purpose at the AGD’s scientific session, and be it further*

*Resolved, that commercial interests not be allowed to have literature distributed in the AGD House of Delegates at the Annual Meeting, and be it further*

*Resolved, that the Credentials and Elections Committee be given the responsibility for determining what other materials may be distributed to the House including the scrutiny of candidate materials to see that they comply with the AGD Election Guidelines, and be it further*

*Resolved, that the AGD’s Executive Director and Speaker of the House determine whether literature concerning business being considered by the House is appropriate for distribution or display on the screen.”*

a. Invitations to receptions of AGD officers, who are not candidates shall not need approval of the committee.

b. A constituent, region or delegate, wishing to advocate in writing a position on business before the HOD shall not need approval of the committee.

c. All such aforementioned materials shall be distributed by the individuals involved, but so as not to disturb the HOD or set-up thereof. Staff shall not distribute these materials.

1. Dispute Resolution Committee
2. The Dispute Resolution Committee (DRC) shall consist of five (5) members serving no more than two (2) consecutive three (3) year terms.
3. Criteria for appointment to this committee shall be member dentists who specialize in the established peer review process and/or certified mediation experience. Further criteria include the willingness and ability to be completely neutral is resolving disputes amongst AGD leaders.
4. Initially, this committee will be appointed through a call to volunteers soliciting qualified volunteers. Additional appointments shall be accomplished within the Call to Leader Engagement solicitation for all other council and committee appointments. The appointed individuals shall be the consensus appointments of the president, president-elect, and vice president. One committee member shall be selected by the incoming President annually to be the chair. The voting members of the Board shall vote to either confirm or reject the nominated individuals.
5. It shall be the duty of the Dispute Resolution Committee to:
6. Review the Code of Conduct and Whistleblower Policies annually and recommend any proposed changes to the Board for approval.
7. Review with staff liaison and manage the process for communicating the Code of Conduct to AGD personnel, volunteers, and the Board and monitoring compliance therewith.
8. Receive updates from management and AGD legal counsel regarding compliance matters and/or any significant risks or exposures facing the organization excluding those items reserved for the Audit Committee.
9. The Chair, in accordance with Code of Conduct section XIV, will select the mediator either in person or through electronic means with both the petitioner who has a grievance against another member along with the member who is the subject of the grievance or with a member who has been accused of violating the Code of Conduct. The Board shall fund from contingency funds any face to face meetings, for both internal and external mediation.
10. The mediator will then attempt to get both parties to come to an agreed outcome.
11. Should all involved parties agree to the outcome of the mediation, the mediator shall forward a brief synopsis of the conflict and a summary of the agreed upon resolution to the Board for informational purposes.
12. In the event mediation is unsuccessful the mediator shall inform the Board, who shall refer the matter to an external arbitrator.
13. The external arbitrator shall report his or her findings, including violations of federal, state, or local law, recommendations and the decision by the parties to the Board. The findings of the outside arbitrator, as forwarded to the Board for approval, shall be binding as agreed upon by the parties involved.
14. Should one or more involved parties refuse to participate in the mediation, the mediator shall forward a summary of the incident to the Board and a brief account of the attempt at resolution. The mediator shall also forward the names of any non-participatory individual to the Board which shall deal with that individual as described in the Code of Conduct and to the extent allowed by law.
15. The Committee will adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
16. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
17. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

H. Examination Assessment Committee

1. The Examination Assessment Committee shall be composed of six (6) members, at least one (1) of whom shall be a member of the Examination~~s~~ Council, with each of the six (6) members having achieved Fellowship or Mastership status within the organization;

Those committee members who are not members of the Examination Council shall serve no more than two (2) consecutive three- (3) year terms on the committee;

2. It shall be the duty of the committee:

a. To review the preliminary and approve the final version of the Fellowship Examination;

b. To review all course materials for the Fellowship Review Course annually;

c. To maintain an adequate pool of examination items that can be utilized for the Fellowship Examination.

3. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

4. Each Council and Committee shall evaluate the revenues and expenses pricing of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

5. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms, and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

I. Examination Development Committee

1. The Examination Development Committee shall be composed of six (6) members, at least one (1) of whom shall be a member of the Examination Council, with each of the six (6) members having achieved Fellowship or Mastership status within the organization;

Those committee members who are not members of the Examinations Council shall serve no more than two (2) consecutive three- (3) year terms on the committee;

1. It shall be the duty of the committee:
   1. To construct, and score the Fellowship Examination;
   2. To make recommendations for an official passing score, based on the statistical analyses, for the annual Fellowship Examination to the Examinations Council;
   3. To maintain an adequate pool of examination items that can be utilized for the Fellowship Examination.
2. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
3. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
4. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

J. Examination Materials Committee

1. The Examination Materials Committee shall be composed of six (6) members, each of whom have achieved Fellowship or Mastership status within the organization, and each of whom has served a minimum of two (2) years on either the Examination Development Committee or Assessment Committee;

Committee members shall serve no more than two (2) consecutive three (3) year terms on the committee;

1. It shall be the duty of the committee:
   1. To ensure that each item in the item bank is appropriately and consistently categorized in accordance with the examination content outline;
   2. To ensure that the references accompanying each item in the item bank are current;
   3. To review periodically the content outline for the Fellowship Examination and recommend changes in the outline to the council;
   4. To develop the Fellowship Examination Study Guide annually per the established development guidelines set forth by the council.
2. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
3. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
4. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

K. Investment Committee

* + 1. The Investment Committee shall consist of three (3) voting members who will serve three-year (3) terms by appointment of the incoming President, with Investment Committee guidance, and Board approval. Individuals do not have to be members of the Budget and Finance Committee, nor on the Board, but must have a financial background to be qualified for appointment. The Treasurer shall serve as a consultant to the Investment Committee. The Investment Committee shall have a fourth non-voting member whose purpose is to learn the functions and methods utilized by the Investment Committee until there is an opening on the Investment Committee. This member shall be appointed by the incoming President, with Investment Committee guidance and Board approval. At that time, the member may become a voting member subject to above approval process and have the regular member term limits and responsibilities.

The fourth non-voting member may become a voting member, after successfully serving for two years, with approval of the voting members. Once the member is approved:

a. A ¾ majority vote will be required on all decisions

b. A response time limit of 72 hours will be implemented. After the time has expired and if there are three votes registered, the remaining member that did not respond is registered as “absent” and the proposal moves forward according to the three votes. The committee will document who participated in the vote. If any member needs more time to evaluate the proposal, a time extension may be requested. Habitual failure to participate may be grounds for removal from the committee.

c. Should a member leave for any reason, or be unavailable for any period of time, the committee shall revert to the original format of three members with a unanimous vote required on all decisions.

The Investment Committee is expected to provide advice on the Investment Fund in a manner consistent with this Investment Policy Statement (IPS) and in accordance with state and federal law.

      The Investment Committee shall be responsible for:

* Designing, recommending, and implementing an appropriate plan consistent with the investment objectives, time horizon, risk profile, guidelines, and constraints outlined in this statement;
* Recommending an appropriate custodian to safeguard the AGD’s assets;
* Identifying specific assets and investment managers within each asset category;
* Ensuring that the custodian provides the Investment Committee with a current prospectus, where applicable, for each investment proposed for the Investment Fund;
* Monitoring the performance of all selected assets;
* Recommending changes to any of the above;
* Voting proxies accordingly to the guidelines and restrictions outlined herein when applicable and otherwise according to its best judgment;
* Periodically reviewing the suitability of the investments for the AGD, being available to meet with the Board at least annually and at such other times within reason at the AGD’s request;
* Preparing and presenting appropriate reports.

1. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
2. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
3. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

L. New Dentist, Resident and Student Committee

1. The New Dentist, Resident and Student Committee shall consist of seven (7) members; one (1) member serves at the chair as appointed by the President and there is no restriction on his/her years of practice, one (1) member dentist with no restriction on his/her years of practice, two (2) member dentists with one to five (1-5) years of practice at time of appointment, one (1) member dentist with three to eight (3-8) years of practice at time of appointment, one (1) AGD student member and one (1) AGD resident member currently enrolled.

For the first members of the committee, the chair and the two (2) member dentists with one to five (1-5) years of practice will serve a two (2) year term and the one (1) member dentist with three to eight (3-8) years and the student member will serve a one (1) year term.

Following the first year of the committee, all appointees will serve a two (2) year term except the student and residents which will still be limited to a one (1) year term. Committee members shall be allowed to serve two (2) terms on this committee whether consecutive or not, but no more than two (2) terms in a lifetime. The student member of the committee may also serve his/her second term as one (1) of the member dentists at large upon appointment. The resident members of the committee may also serve his/her second terms as one (1) of the member dentists at large upon appointment.

2. It shall be the duty of this committee:

1. Identify and propose benefits, programs and services for new dentist, resident, and student members to the Membership Council.
2. Create and engage student chapters.
3. Collaborate with management in development of relationships with external organizations.
4. Serve as a data source, strategic planning resource, marketing and membership resource.
5. The committee shall be consulted by all AGD agencies on matters involving new dentists, residents, and students.
6. The committee shall transmit a report to each Board meeting
7. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.
8. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.
9. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

M. Professional Relations Committee

1. The Professional Relations Committee (PRC) shall consist of nine (9) members plus the President, President-Elect, and Vice President as consultants.
2. Criteria for appointment to this committee shall be demonstrated adherence and commitment to the policies adopted by the AGD.
3. Further criteria include the willingness and ability to advocate AGD’s positions in public, inclusive of the American Dental Association (HOD) floor, ADA caucuses, and throughout organized dentistry.
4. It shall be the duty of the Professional Relations Committee to set up a network of AGD members who can be called upon to:
5. Meet electronically throughout the year to consider matters important to AGD advocacy specifically those coming before the ADA HOD.
6. Seek ways to share concerns with the ADA leadership throughout the year specifically prior to the ADA meeting.
7. Seek to align with other dental organizations or associations throughout the year specifically prior to the ADA meeting and recommend strategies and alliances for action on issues and concerns that are of common interest among any of these as long as the policies of the AGD are not compromised by doing so.
8. Establish a network of AGD members and friends for any particular task.
9. Represent the concerns of the AGD to the ADA caucuses. This might be a delegate or alternate within the ADA district or a close contact with a delegate or alternate in the district.
10. Speak to the AGD position in reference committees, caucuses, and especially on the ADA HOD floor using talking points and material provided by the PRC.
11. Deliver support materials to selected key representatives throughout the year and specifically at the ADA HOD.

5. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

6. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

7. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

N. Self-Instruction Committee

1. This committee shall consist of seven (7) members, plus the AGD’s Editor who shall serve as a consultant.

No member of the committee shall serve more than two (2) consecutive three (3) year terms.

1. It shall be the duty of:

* 1. This committee to construct exercises and learning objectives for articles assigned by the chairperson that may be published in the AGD’s *General Dentistry* journal and returned by readers for credit;

1. The chairperson of the committee to assign articles in concert with the AGD Editor and in accordance with the identified educational needs of AGD members and objectives established for the *General Dentistry* Self-Instruction program;
2. The Examinations Council shall evaluate the quality and effectiveness of *General Dentistry’s* Self-Instruction program once each year based on:
   * 1. Program objectives;
     2. Number of registrants;
     3. Analysis of evaluations returned by registrants at the end of each subscription year;
     4. An annual report from the Self-Instruction Committee.

4. To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

5. Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

6. AGD staff will send out to each council, committee, or other agency member along with any member collaborating on any AGD business the Code of Conduct form to be completed by said individual at the beginning of each governance year. Each covered individual will submit to their staff liaison an accurately completed form, including particular attention paid to any companies that may have remunerated said covered individual and subsequently reported such remuneration to the federal government’s reporting structure under the Sunshine Act. The staff liaison will compile all of their individual’s forms and share them with their chairperson and also the executive office staff, who will in turn, forward them to the Dispute Resolution Committee for further review.

Section 4. Transaction of Business by Councils and Committees

A. In order for any AGD council or committee to transact business, at least a majority of its members must participate in the decision.

B. All members must be contacted on mail, e-mail, or telephone votes.

C. No meeting of an AGD council or committee may be held without a majority of the voting members of the council or committee in attendance.

D. All members of the council or committee must be duly notified in writing of the time and place of the meeting.

Section 5. Ad Hoc Committees

A. The President, with the approval of the Board, shall have the authority to appoint ad hoc committees that are necessary to fill the needs of the organization.

B. All ad hoc committees shall be terminated no later than the end of the incumbent President’s term of office.

Section 6. Pricing of Programs and Services

Each Council and Committee shall evaluate the revenues and expenses of all its programs and services annually as part of the budget process. Additionally, each Council and Committee shall provide a complete revenue and expense analysis to the Board at the appropriate Board Meeting at least every three years, beginning 2019.

**Monitoring:**  Annually in September

***Policy Type: II.*** *Governance Process*

**N. Leader Evaluation**

Resolved, that the following evaluation process be adopted by AGD for use with the Board, Regional Directors, and Council and Committee chairs, and be it further,

Leader Evaluation

1. Responds in a timely fashion to all communications

2. Is responsive to assigned tasks

3. Is well prepared for meetings

4. Enthusiastically supports the mission and values of AGD

5. Is an active and effective participant at meetings

6. Attends all meetings and conference calls

7. Is able to discuss and dissect issues in an objective, insightful manner and contribute to their resolution

The process, applicable to all levels of leadership, should have the following characteristics:

* + Each leader would complete a written, self-evaluation.
  + The president, president-elect, vice president, and the Secretary would review the evaluations.
  + There would be a mentoring process, with an experienced member assigned as mentor.
  + The grades would be: meets expectations, exceeds expectations, does not meet expectations.
  + Follow up comments from the reviewer would be needed in areas where there were "did not meet expectations".
  + At the conclusion of the appropriate Board Meeting, each Trustee would submit the written self-evaluation to the AGD Secretary who would then pass them along to the designated reviewing officers. The four reviewing officers would split up the reviews in nearly equal amounts.
  + The reviewing officer would then contact the Trustee with the reviewing officer's evaluation followed by a verbal conversation on both the reviewers and reviewees perspective.
  + The Chair, Vice Chair, Vice President/RD Liaison of the Regional Directors would undertake this process for the RD's.
  + The Council/Committee Chairs would undertake this process for council and committee members. Board Liaison's and/or President-Elect would undertake the process for council and committee chairpersons.
  + The timing of the review for RD's, and council and committee chairpersons would be at the conclusion of the last meeting of their agency during the governance year, but prior to the commencement of the next governance year (e.g., council chairs after the JCM but before the annual meeting) and be it further,

Resolved, that the leadership evaluation process be re-evaluated for effectiveness each year for the first three years after first adopted (and which could be rescinded or amended at any point) and used, and be it further,

Resolved, that the Board Policy Manual be amended by addition with the inclusion of this new process at Policy Type II (K), and be it further,

Resolved, that all previous leadership evaluation processes, devices, and protocols be sunsetted.

**Monitoring:**  Annually in December

Approved 2012 Board Meeting IV

***Policy Type: II.*** *Governance Process*

**O. Code of Conduct**

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**ACADEMY OF GENERAL DENTISTRY**

**CODE OF CONDUCT FORM**

The Code of Conduct is a statement of the Academy of General Dentistry’s (AGD) values and professional standards. The AGD requires its employees, volunteers and Board members to adhere to the Code of Conduct.

An audit of each Board member’s, Conflict of Interest Statement shall be accomplished by HR staff annually through the use of <https://openpaymentsdata.cms.gov/> with a report presented to the President.  In addition, HR staff shall conduct a random audit of 10% of all other AGD leaders:  RDs, Council and Committee members, and other workgroup members.

All instances of apparent discrepancies, excluding AGD financial matters, will be forwarded to the entirety of the Executive Committee who will submit an AIR to the Board to determine if the Dispute Resolution Committee (DRC) shall be activated for review.

Through the Code of Conduct, the following principles are endorsed:

* We comply with all applicable laws, regulations, and AGD policies.
* We make decisions and acts that are proper, in terms of our own sense of integrity and how they might appear to others.
* We are honest, trustworthy, and fair in all of our actions and relationships with, and on behalf of the AGD.
* We maintain honest and accurate financial records that are maintained honestly, accurately, and in accordance with generally acceptable accounting principles (GAAP).
* We avoid situations in which our individual personal financial interests conflict, may conflict, or may appear to conflict, with any interest of the AGD.
* We secure business for the AGD on the basis of an honest competitive market process.
* We maintain the appropriate level of confidentiality at all times with respect to information pertaining to members, suppliers, employees, or the AGD itself.
* We protect all of the AGD’s assets, including facilities and equipment, and help maintain their value to the AGD.
* We act professionally at all times.
* We contribute to the effectiveness of the Code of Conduct by notifying the entirety of the Executive Committee if violations or suspected violations are observed.
* We treat each other as colleagues, respecting the skills and talents we each contribute.

Employees, volunteers and Board members must apply the principles of the Code of Conduct in all of their dealings and in every aspect of their employment by or trusteeship of the AGD. They must consider their actions in light of how they might be interpreted by others and whether they are behaving appropriately and performing in the best overall interests of the AGD. Compliance with the spirit as well as the letter of the Code of Conduct is vitally important.

The key rules to ensure effectiveness of the Code of Conduct are set forth below. More extensive direction to employees on how to interpret and apply the principles of the Code of Conduct is provided throughout the AGD’s Employee Handbook, which is required reading for all employees.

Initials

**I. Avoiding Conflicts of Interest**

As an Academy of General Dentistry (AGD) employee, volunteer, Board member, or any other person working with the AGD in any capacity, you are expected to avoid conflicts of interest. This means you must avoid any situation *where a conflict could exist or appear to exist* between your personal financial interests or otherwise and those of the AGD. You must avoid any outside financial interest that might influence your decisions or actions on behalf of the AGD. While it is impractical to describe all situations that may create a conflict of interest, examples include personal or family interests in enterprises that do business with the AGD, except for minimal holdings of stock or other securities in publicly traded companies, including mutual funds. The AGD may purchase goods or services from an employee or from a business in which an employee, volunteer, Board member or close relative, friend, or neighbor of an employee, volunteer or Board member has any interest only when full disclosure is provided by the AGD employee, volunteer or Board member. A written waiver must first be granted by the Executive Director before said goods or services may be purchased. The Executive Director must obtain a waiver from the President of the AGD. When there are two or more vendors bidding for AGD business, and one or more of them have a potential conflict of interest relating to an Academy employee, volunteer or Board member, and in the case where bids are substantially equal, the bidder without the potential conflict of interest should receive the business.

Conducting business with vendors can pose ethical problems. Purchase of goods and services must not benefit you or your family in the form of kickbacks or rebates. These can take many forms and are not limited to direct cash payments or credits. A business courtesy is a gift or favor for which you pay nothing or less than fair market value. It may be a tangible or intangible benefit, including, but not limited to, such items as non-monetary gifts, meals, drinks, entertainment, hospitality, recreation, door prizes, transportation, discounts, tickets, passes, promotional items or use of a giver’s name, time, materials or equipment.

Under no circumstances may you accept gifts of money including, but not limited to salary, or other payments for services, i.e., consulting fees, honoraria, equity interest, property rights, including patents, copyrights and royalties from such rights. You may not solicit non-monetary gifts, gratuities or any other personal benefit or favor of any kind from vendors. You and members of your immediate family may accept unsolicited, non-monetary, infrequent business courtesies from someone doing or seeking to do business with the AGD *only if it is of nominal value, i.e., a face value of less than $500 (cumulative for the year).*

AGD employees, volunteers or Board members may not encourage or solicit entertainment from any company or individual with whom the AGD does business. From time to time, AGD employees, volunteers or Board members may accept entertainment, but only if it is reasonable, occurs infrequently and does not involve lavish expenditures.Accepting entertainment intended to gain favor or influence must be avoided. AGD employees, volunteers or Board member should also not be influenced by the special interests of individual members.

Agreements with agents or consultants must be in writing on AGD letterhead. Such agreements must clearly set forth the services to be performed, the basis for earning the commission or fee involved, and the rate or fee. All such agreements must be reviewed by the proper authority (the Executive Director) prior to execution. Any payments must be reasonable in amount, not excessive in light of the practice in the trade, and commensurate with the value of the services rendered.

AGD employees, volunteers and Board members will acknowledge receipt and understanding of this policy. At the same time, they will disclose any existing or potential conflict of interests which would include any gifts or entertainment that exceeds $500 *(cumulative for the year).* Annually, they must renew this understanding and disclosure. Any conflicts will be reviewed by the Dispute Resolution Committee.

All employees, volunteers and Board members must report any actual or suspected exceptions to the Executive Director. If you encounter a situation in which a possible conflict of interest may be involved, talk to the Executive Director before you take any action.

No AGD officer, Board member, Regional Director, Council or Committee member or any other leader may refer to his or her AGD title or leadership status in conjunction with any advertising, promotion, solicitation or marketing for any other for-profit or non-profit entity(s) or its product or services unless specifically authorized to do so in writing by the Board. Affected leaders may refer to their AGD leadership position in the context of a resume or biographical statement without violation of this policy.

In answering the following questions, please include all relevant information occurring during the year.

In the past year, have you or any family member received any business courtesies (excluding business courtesies up to $500 value per payer *(cumulative for the year)*) or monetary gifts of any amount from people or companies doing business or seeking to do business with the AGD?

\_\_\_\_\_\_\_\_\_\_\_\_ Yes \_\_\_\_\_\_\_\_\_\_\_\_\_\_ No

If yes, specify the approximate date of receipt, person or company from which received, what was received, and the recipient.

Date Person or Company Item Received Recipient

**I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, declare that I have no proprietary, financial or other personal or professional interest of any nature or kind in any product, service and/or company that will, or might, be considered a conflict of interest during my term as an elected or appointed official of the AGD except the following: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

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I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, belong to the following dental and/or professional organizations:

Organization Leadership Role (if any)

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**Should I acquire such an interest, subsequent to signing this document, I will promptly sign and file an amended statement.**

Initials

**II. Proper Use and Care of Confidential Information and Proper Record Keeping**

The AGD, while a not-for-profit organization, is still a business and operates as such. Sound business practices mandate that an organization’s employees, volunteers and Board members, while trusted, are made aware of principles regarding confidentiality.

Confidential information including position papers, Board member business, House of Delegates business, etc. should not be disclosed to anyone other than people who are authorized to receive such information. If confidential information is requested of you, either by another employee, volunteer or Board member, or by someone outside the AGD, and you question your authority to release the information, ask the Executive Director before providing it. When in doubt as to whether certain information is or is not confidential, employees and volunteers should contact their supervisor, the Executive Director or a member of the Board.

All entries employees, volunteers and Board members make to the financial records must be accurate, in accordance with established accounting and record-keeping procedures and sound accounting controls, and in compliance with document retention requirements.

Initials

**III. Anti-Harassment and Anti-Discrimination**

It has been and remains the policy of AGD to maintain a work environment where every employee, volunteer and Board member is free from all forms of harassment and discrimination based upon or related to race, color, sex, pregnancy, religion, national origin, ancestry, physical or mental disability, age, sexual orientation, gender identity, marital status, veteran status, military status, order of protection status, genetic information, and any other characteristic protected by applicable law. This includes conduct that creates a hostile, intimidating, or offensive work environment. AGD will not tolerate harassment of AGD employees, volunteers or Board members by anyone, including any supervisor, co-worker, vendor, client, contractor, member, or other regular visitor of AGD. Our policy prohibits not only conduct and language that constitute unlawful harassment and discrimination as defined by the courts, but all inappropriate behavior of this type.

Initials

**IV. Definition of Sexual Harassment:**

“Sexual harassment” consists of unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when made by any employee, volunteer or Board member to another employee, volunteer or Board member where:

1. Submission to such conduct is made either explicitly or implicitly a term or condition of a person’s employment;
2. Submission to or rejection of such conduct is used as the basis for any employment decisions affecting such individual; or
3. Such conduct has the purpose or effect of substantially interfering with an individual’s work performance or creating an intimidating, hostile or offensive working environment.

Initials

**V. Sexual harassment, as defined above, may include, but is not limited to:**

1. Uninvited sex-oriented verbal “kidding” or demeaning sexual innuendoes, leers, gestures, teasing, sexually explicit or obscene jokes, remarks or questions of a sexual nature;
2. Graphic or suggestive comments about an individual’s dress or body;
3. Displaying sexually explicit objects, photographs, or drawings, including emails and websites;
4. Unwelcome touching, such as patting, pinching, or intentional brushing against another’s body; or
5. Suggesting or demanding sexual involvement of another employee whether or not such suggestion or demand is accompanied by implicit or explicit threats concerning one’s employment status or similar personal concerns.

Initials

**VI. Other Harassment**

Other harassment prohibited by this policy includes inappropriate conduct in the workplace, based upon an individual’s race, color, religion, sex, pregnancy, national origin, age, mental or physical disability, ancestry, sexual orientation, gender identity, veteran status, military status, marital status, order of protection status, or any other protected category as defined by applicable law that has the purpose or effect of interfering with an individual’s work performance or creating an intimidating, hostile, or offensive work environment.

The conduct forbidden by this policy specifically includes, but is not limited to: (a) epithets, slurs, negative, stereotyping, or intimidating acts that are based on a person’s protected status; and (b) written or graphic material circulated within or posted within the workplace that shows hostility toward a person or persons because of their protected status.

Harassment of any employee, volunteer, Board member, applicant, or third party is strictly prohibited and will not be tolerated. All employees, volunteers and Board members are strictly prohibited from engaging in such harassment. No supervisor or manager has the authority to request or demand compliance with unwelcome or offensive conduct in return for any job assignment, continued employment, compensation, promotion, or other term or condition of employment, and supervisors and managers have no authority to retaliate against any individual for failure or refusal to comply with such demands or requests. Any such demand or request, and any such retaliation or attempted retaliation, constitutes a serious violation of this policy.

Keep in mind that an employee, volunteer or Board member may complain about harassment if the employee, volunteer or Board member is subjected to consensual behavior between two or more other employees, volunteers or Board members.

Initials

**VII. Complaint Procedure: Complaints Involving Volunteers and Staff**

Any individual who has a complaint about harassment by any employee, member, or other person connected to an individual’s employment at AGD should immediately bring the incident to the attention of the head of Human Resources or the Executive Director, and the AGD President when an AGD volunteer is involved, or the Executive Director, when the President is the subject of the complaint.

Every employee, volunteer and Board member is responsible for ensuring compliance with this policy. Any supervisor who has been approached by an employee with a harassment complaint must immediately contact the head of Human Resources, and the AGD President when an AGD volunteer is involved, or the Executive Director to report the complaint.

Upon learning of an allegation of harassment, the head of Human Resources, and the AGD President when an AGD volunteer is involved, shall promptly initiate an investigation. The investigations should include, but not necessarily be limited to: 1) interviewing the alleged victim, 2) interviewing the alleged harasser, and 3) interviewing all other witnesses, as feasible. Confidentiality will be respected to the extent consistent with the need to conduct a fair, complete, and responsive investigation.

Initials

**VIII. Action After Investigation**

AGD’s immediate goal is to take prompt remedial action to stop the discriminatory, harassing, or offensive conduct if a violation of this policy is found. The second goal is to assure that the violation will not recur. Even where a violation is not found, it may be appropriate to counsel individuals regarding their behavior.

If a violation of this policy is found, discipline may be imposed ranging from a notation in the individual’s personnel file up to and including termination, depending on the circumstances. In the event a violation was made by an AGD volunteer, disciplinary actions up to and including removal from assigned leadership positions shall be considered by the Board.  AGD considers violations of this policy to be extremely serious. Violations undermine the AGD’s basic concept of fairness and can lead to legal and financial liability for the violator and AGD.

The appropriate parties, as determined by the Executive Director, will be informed of the results of the investigation. Legal obligations and constraints will guide the determination of the appropriate parties.

**IX. No Retaliation**

Initials

As noted already, any individual making a complaint or providing information relative to a complaint will not be retaliated against, even if a complaint made in good faith is determined to be unfounded. Retaliation will result in disciplinary action.

Our goal is to maintain a workplace free from any form of harassment, and AGD is committed to doing everything reasonably possible to achieve this goal. Any employee who feels that he or she has been the subject of retaliation or adverse or different treatment as a result of having complained about prohibited discrimination or harassment, or having participated in an investigation, should immediately bring the matter to AGD’s attention through the same complaint procedure identified above.

Initials

**X. Compliance with the Law**

Employees, volunteers and Board members of the AGD must not participate in illegal or criminal activity. Any employee who is being investigated or has been convicted of or pleaded guilty to a felony must immediately report such information in writing to the head of Human Resources who will then report to the Executive Director.

Employees, volunteers and Board members must also respond to specific inquiries of the AGD’s independent accounting firm. Employees, volunteers and Board members must protect the AGD’s assets in whatever ways are appropriate to maintain their value to the AGD. Employees, volunteers and Board members must take care to use facilities, furnishings, and equipment properly and to avoid abusive, careless, and inappropriate behavior that may destroy, waste, or cause the deterioration of AGD property.

Initials

**XI. Antitrust Compliance**

AGD Board members, staff and meeting attendees must have a basic understanding of antitrust laws and how they apply to their activities. If they don't, the possibility of subjecting themselves, their employers, and the AGD to an antitrust investigation and prosecution is increased. The following is a list of subjects which shall not be discussed or be the subject of any type of agreement, whether formal or informal, express or implied, among competitors or potential competitors:

* Prices to be charged to patients or customers or by suppliers.
* Methods by which prices are determined.
* Division or allocation of markets or patients or customers.
* Coordination of bids or requests for bids.
* Terms and conditions of sale, including, for example, credit or discount terms, etc.
* Profit levels.
* Levels or schedules of production.
* Hindering the ability of non-members to compete.

Legally inappropriate informal meetings regarding official topics that take place in a social setting, are also prohibited.

Initials

**XII. Due Diligence**

All employees, volunteers and Board members must exercise due diligence consistent with a duty of care that requires an individual to act:

* In good faith;
* With the care an ordinarily prudent person in a like position would exercise under similar circumstances;
* In a manner the individual reasonably believes to be in the organization’s best interests.

Employees, volunteers and Board members should see to it that policies and procedures are in place to help them meet their duty of care. Such policies and procedures should ensure that each individual:

* Is familiar with the organization’s activities and knows whether those activities promote the organization’s mission and achieve its goals;
* Is fully informed about the organization’s financial status;
* Has full and accurate information to make informed decisions; and
* Complies with the policies set forth by the AGD.

Initials

**XIII. Fraud**

All employees, volunteers and Board members are responsible for recognizing and reporting fraud, falsification of records, or other irregularities. Fraud applies to any irregularity or suspected irregularity related to AGD’s business and involving employees, volunteers, Board members, vendors, or persons providing service or materials to the AGD.

Irregularities include, but are not limited to:

* Forgery or alteration of any document
* Impropriety in the handling or reporting of financial transactions
* False, fictitious, or misleading entries or reports
* False or misleading statements to those conducting investigation of irregularities

Employees, volunteers and Board members must immediately report any suspected irregularity to the Chair of the Audit Committee. The AGD’s ability to investigate and remediate fraud successfully depends on prompt and confidential reporting. If you suspect fraud, do not discuss the matter with any of the individuals involved, do not attempt to investigate or determine facts on your own, and do not discuss your suspicions with anyone unless specifically directed or authorized to do so by a member of the investigations team.

Employees, volunteers and Board members must cooperate with any investigation and provide accurate and truthful information. Employees, volunteers and Board members must not disclose or discuss the fact that an investigation is being conducted or has been conducted, and must not disclose the results of any investigation to anyone except those persons in the AGD or law enforcement who need to know in order to perform their duties, or except as otherwise required by law.

XIV. Code of Conduct: Complaints Involving Two or More Volunteers

Every possible situation cannot be anticipated in the Code of Conduct. Any volunteer or Board member who compromises or violates that law and any, volunteer or Board member who violates AGD policies relating to the conduct of its business or the high ethical standards contained in the Code of Conduct is subject to corrective action, up to and including dismissal from leadership in accordance with the AGD Bylaws and Illinois law, and, in some cases, may also be subject to criminal or civil proceedings under applicable laws.

All volunteers and Board members are strongly encouraged to assist management in its efforts to ensure that the Code of Conduct is being followed by volunteers and Board members. If you observe or suspect a breach of the Code of Conduct or any law, regulation, or other AGD policy by a volunteer or a Board member while he or she is conducting business for the AGD, then you should report such observations or suspicions to the Executive Director, or the entire Executive Committee, who will submit an AIR to the Board to determine whether the protocols for the Dispute Resolution Committee should be activated. In the event the Dispute Resolution Committee is activated, participation and compliance in its investigation is mandatory. Failure to assist the Dispute Resolution Committee to investigate an incident will result in removal from leadership positions where possible. Retaliation of any kind against any employee, volunteer or Board member who makes a good faith report of an observed or suspected violation of the Code of Conduct or any law, regulation or AGD policy is prohibited.

In the event that mediation with a member of the DRC is recommended, ~~both~~ all involved parties must agree at the outset to abide by the process which may include binding arbitration by an outside arbitrator. Participation in mediation is mandatory to be considered in compliance with the Dispute Resolution Committee investigation.

*Disputes are best resolved informally directly between parties. However, the AGD recognizes that there are situations when a formal process may be beneficial and additional perspectives may be needed to review a dispute. Successful resolution of a dispute requires an open and honest exchange of information and a willingness to see a situation from a different perspective.*

*The purpose of this policy is to provide an opportunity for AGD members to internally resolve disputes. The process will include meetings, either face to face or via virtual format, and a review of any related documentation to ensure a full understanding of the facts and circumstances and to provide clarification on any issues. The dispute resolution process provides opportunities for the exchange of information between the concerned parties and the DRC.*

Initials

XV. Volunteer Copyright and Confidentiality

The undersigned, in consideration of the opportunity to participate on an AGD Council/Committee, accept the following terms.

I understand that I may create or contribute to original work for the AGD.

I hereby assign to AGD copyright in any and all work created by me as part of my participation with the AGD Council/Committee (“Work”).

I further represent and warrant that I am the sole author of any and all Work that I create.

Further, I understand and acknowledge that any and all information disclosed to me or which I create as part of my participation with the AGD Council/Committee that is indicated as confidential during the Council/Committee’s meeting or in the minutes of the Council/Committee’s meeting shall be considered Confidential Information of the AGD. I understand and acknowledge that I shall not disclose or cause to be disclosed any Confidential Information without the express written permission of the AGD. I further understand and acknowledge that disclosure of Confidential Information may cause irreparable harm to the AGD, and that, therefore, the AGD reserves the right to pursue all remedies available to it in law and equity.

**XVI. Failure to Submit Signed Form**

Initials

In order to ensure all forms are completed and signed, the following process will be utilized to follow-up with volunteers.

1. Forms will be distributed annually to all volunteers once the appointments are approved (council and committee members after the Spring Board meeting and RDs and Board members at the Annual Meeting).
2. A follow-up request will be posted to the respective Connect page immediately following the initial distribution.
3. Two weeks after the initial distribution, an e-mail remainder will be sent to those who have not responded.
4. After one month, staff will call volunteers who have not responded.
5. Travel reimbursement will be withheld until a completed code of conduct form is received at AGD Headquarters.

**I hereby acknowledge receipt of the Code of Conduct and understand that I am responsible for reading, understanding, and complying with it. I further agree to binding arbitration should disputes about my actions under the Code of Conduct take place.**

**Signature:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Printed Name:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**PLEASE RETURN THIS SIGNED FORM**

**Please return this form via fax to 312.335.3438.**

Amended 20-21 Board Meeting III

***Policy Type: II.*** *Governance Process*

**P. Board Processes**

a. The incoming President will participate in an orientation session for all members of the Board and his/her council and committee chairpersons within three months following the adjournment of the annual meeting at which he/she becomes President.

b. The Board will consider and approve the policies which accommodate the program of work as presented by staff, councils and committees and execute its fiduciary responsibility toward sound financial planning principals in all its deliberations.

c. Items of new business requiring action must be submitted via an Action Item Report and items for discussion will need to be submitted via a written informational report.

1. In-Person Board Meeting

a. At least five weeks in advance of the first day of an in-person Board meeting, items requiring action must be submitted via an Action Item Report and submitted to Headquarters in order to be included on the agenda for that meeting; items for discussion will need to be submitted via a written informational report.

b. After the deadline stated in 1a., a written request accompanied by an AIR or informational report must be submitted to and approved by the President 48 hours prior to the materials distribution policy deadline as stated in Policy Type: II. Governance Process, C. Board Operations in order to be included within the agenda.

c. If a request is received after the 48 hour deadline, as stated in 1b., a written request accompanied by an AIR or informational report must be submitted to the President prior to the agenda approval by the Board at the start of the Board Meeting. In addition, a motion to add new business to the agenda must be made and seconded and the item of new business must then be approved by a two-thirds vote of the voting Board members who are present in order to be considered, and then only after all other items of business on the published agenda have been completed.

* 1. Electronic Meeting

a. At least 10 days in advance of an electronic Board meeting, items requiring action must be submitted via an Action Item Report and submitted to Headquarters in order to be included on the agenda for that meeting; items for discussion will need to be submitted via a written informational report.

b. After the deadline stated in 2a., a written request accompanied by an AIR or informational report must be submitted to and approved by the President 48 hours prior to the materials distribution policy deadline as stated in Policy Type: II. Governance Process, C. Board Operations in order to be included within the agenda.

c. If a request is received after the 48 hour deadline, as stated in 2b., a written request accompanied by an AIR or informational report must be submitted to the President prior to the agenda approval by the Board at the start of the Board Meeting. In addition, a motion to add new business to the agenda must be made and seconded and the item of new business must then be approved by a two-thirds vote of the voting Board members present in order to be considered, and then only after all other items of business on the published agenda have been completed.

3. Emergency Meeting

a. In the case of an emergency meeting, the deadline for materials and items of new business will be determined on a case-by-case basis.

d. AIRs may only be submitted by:

1. a member of the Board

2. an action resulting from a formal vote of a council or committee (not just the chair), the Regional Directors (in their entirety, not just a single RD), a task force or another Board approved work group, a constituent (by majority vote of the constituent’s Board), a region (by majority vote of the delegation) and staff, with the explicit written direction and recommendation of the Executive Director

e. Creation of a new task force must be accompanied by an AIR which includes the composition of members, a charge, financial information and a timeline.

The Board may take action from:

1. An aforementioned AIR

2. The report of an officer or member of the Board

3. The report of the Regional Directors

4. The report of AGD staff

5. The report from any AGD agency

6. The report of any constituent or regional Board

* + 1. The President, consistent with parliamentary procedure, will offer the Board guidance at the outset of every meeting with regard to those issues which should consume most of the Board's time, and particularly any item that will involve the Board in a problem‑solving activity because of its tremendous immediate importance to either the organization or the dental profession. The President shall maintain oversight of other discussions to assure that they do not interfere with the strategic discussions that the Board needs to have at that meeting.

Approved 2022-2023 Board Meeting II

***Policy Type: II.*** *Governance Process*

**Q. Absence of Executive Director Plan**

In the absence of a full time Executive Director, for any reason and until such time as an interim or permanent replacement can be found, the day-to-day operations of the Academy of General Dentistry (AGD) will be managed by the Associate Executive Directors and Vice President, Finance, reporting to and answering to the President of the AGD, and to the AGD Board.

Approved 2015-2016 Board Meeting III

***Policy Type: III.*** *Board-Executive Director Relationship*

**A. Delegation to the Executive Director**

The Executive Director is accountable to the entire Board. The Board will establish the broadest policies, delegating implementation and more detailed policy development to the Executive Director.

1. All Board authority delegated to staff is delegated through the Executive Director, so that all authority and accountability of staff—as far as the Board is concerned—is considered to be the authority and accountability of the Executive Director.

2.The *Guiding Documents* direct the Executive Director to achieve certain results; *Executive Limitations* policies constrain the Executive Director to act within acceptable boundaries of prudence and ethics. With respect to *Guiding Documents* and executive *means*, the Executive Director is authorized to establish all further policies, make all decisions, take all actions, and develop all activities as long as they are consistent with the Board's policies.

3. The Board may change its *Guiding Documents* and *Executive Limitations* policies, thereby shifting the boundary between Board and Executive Director domains. By so doing, the Board changes the latitude of choice given to the Executive Director. But so long as any particular delegation is in place, the Board and its members will respect and support the Executive Director’s choices. This does not prevent the Board from obtaining information in the delegated areas.

4. No Board member, officer, council, committee, or other work group has authority over the Executive Director, except to the extent the Board has authorized such persons or groups a specific and limited use of staff resources. Without such Board authorization, the Executive Director can refuse, with reasons, requests for information or assistance that require—in the Executive Director’s judgment—a material amount of staff time or funds or is disruptive. An appeal of such refusals can be made to the President for Executive Committee decision.

**Monitoring:** Review during Executive Director Evaluation process November-January.

***Policy Type: III****. Board-Executive Director Relationship*

**B. Executive Director Job Description**

As the Board’s single official link to the operating organization, the Executive Director’s performance will be considered to be synonymous with organizational performance as a total. Consequently, the Executive Director’s job contributions can be stated as performance in only two areas:

1. Organizational progress towards the goals of the strategic plan.

2. Organization operation within the boundaries of prudence and ethics established in Board policies on *Executive Limitations*.

**Monitoring:** Review during Executive Director Evaluation process November-January.

***Policy Type: III.*** *Board – Relationship*

**C. Monitoring Executive Director Performance**

Monitoring Executive Director performance is synonymous with monitoring organizational performance against *Guiding Documents* and *Executive Limitations*. Any evaluation of the Executive Director performance, formal or informal, may be derived from these monitoring data only.

1. The purpose of monitoring simply is to determine the degree to which Board policies are being fulfilled. Information that does not do this will not be considered to be monitoring. Monitoring will be as automatic as possible, using a minimum of Board time so that meetings can be used to create the future rather than to review the past.

2. A given policy may be monitored in one or more of three ways:

A. Internal report: Disclosure of compliance information to the Board from the Executive Director.

B. External report: Discovery of compliance information by a disinterested, external auditor, inspector or judge who is selected by and reports directly to the Board. Such reports must assess executive performance only against policies of the Board, not those of the external party, unless the Board has previously indicated that party’s opinion to be the standard.

C. Direct Board inspection: Discovery of compliance information by a Board member, a committee or the Board as a whole. This is a Board inspection of documents, activities, or circumstances directed by the Board which allows a “prudent person” test of policy compliance.

3. Upon the choice of the Board, any policy can be monitored by any method at any time. For regular monitoring, however, each *Executive Limitations* policy will be classified by the Board according to frequency and method. Frequencies and methods of monitoring each Executive Limitations policy are listed at the end of each policy statement. Progress toward strategic outcomes will be compared by key measures of key initiatives.

4. The Executive Director is employed by the Board. A written performance evaluation of the Executive Director shall be prepared annually after seeking input from the senior staff and Board either at a Board meeting or utilizing a Board-approved evaluation tool. A self-evaluation prepared by the Executive Director and the attached tool will be used to facilitate the discussion. This written performance evaluation shall be used by the Compensation Committee to make recommendations to discretionary bonuses and salary increases to the Board.

The Immediate Past President and the President shall meet with the Executive Director to discuss the evaluation and any bonus or salary increases. The Executive Director may add any comments prior to signing. A summary of the review will be discussed with the Board.

5. A mid-year evaluation will be completed by the EC and discussed with the Executive Director. The evaluation will then be reported to the Board at the Board Meeting III or IV.

**6. All executive director’s evaluations, whether completed by volunteers or staff, will be anonymous.**

**Monitoring:** Review during Executive Director Evaluation process November-January.

**AGD Executive Director Evaluation Process**

|  |  |  |
| --- | --- | --- |
| **Evaluation Steps** | **Roles/Responsibilities** | **Timeline** |
| 1. Secretary finalizes the format and questions for the evaluation using the Executive Director’s Goals approved by the Board the previous year. | Secretary | Within 4 weeks after Board Meeting I |
| 1. Executive Director provides a written organizational and self-evaluation. | Executive Director | Within 4 weeks after Board Meeting I |
| 1. Secretary develops the evaluation for Board use which is reviewed and approved by the Immediate Past President, President, and President-Elect. | Secretary, Immediate Past President, President, and President-Elect | Within 4 weeks after Board Meeting I |
| 1. The Secretary develops the staff evaluation of the Executive Director which is then approved by the Immediate Past President, President, and President-Elect. | Secretary, Immediate Past President, President, and President-Elect | Within two weeks of the above, items 1, 2, 3 |
| 1. A) Executive Director’s evaluation questions are sent to the Board for completion along with the Executive Director's self-evaluation and previously approved Board goals. | Secretary | By the end of February of the calendar year |
| 1. B) Staff evaluation questions are sent to the staff for completion. | Secretary | By mid-February of the calendar year |
| 1. Follow up with Board evaluations that have not been completed. | Secretary | Mid February (By the 15th) |
| 1. The AGD Secretary prepares and forwards a written report with the results of the performance evaluation survey from the Board and staff along with the organizational and self-evaluation and proposed goals to the Executive Committee and Compensation Committee. | Secretary | The third week of February |
| 1. The Compensation Committee meets via conference call and formulates recommendations based on the evaluations results, for the Board’s consideration regarding the Executive Director’s compensation and benefits package. This summary is sent to the Executive Committee. | Compensation Committee | By the end of February |
| 1. Executive Committee meets via conference call to discuss the evaluation summary and Compensation Committee recommendations. | Executive Committee | Two weeks prior to BM II |
| 1. The Secretary provides the Executive Director’s written evaluation report to the Board for review and comments in a confidential packet to be returned at the end of the Board meeting. | Secretary and Board  (executive session) | Board Meeting II |
| 1. The Board reviews and provides feedback on the evaluation report | Board and Compensation Committee  (executive session) | Board Meeting II |
| 1. The Compensation Committee presents their recommendations to the Board to be discussed and approved by the Board | Board and Compensation Committee  (executive session) | Board Meeting II |
| 1. An evaluation subcommittee consisting of the Immediate Past President, and the President will meet with the Executive Director to provide a written evaluation report, give performance feedback and offer the Executive Director the opportunity to discuss the evaluation results. | Immediate Past President and President | Within four weeks after BM II |
| 1. The Board will discuss the results of the evaluation subcommittee meeting with the Executive Director. | Board and Executive Director  (executive session) | Within four weeks after evaluation meeting with ED |
| 1. Based on the written performance evaluation and Compensation Committee recommendations, the Executive Committee will make recommendations on the Executive Director compensations package including base salary, bonus, retirement contributions, and consideration of any additional incentives to the to the board for debate and approval. The salary of the Executive Director should be in accordance with current industry related compensation studies (ASAE, Association Forum and CEO Update or other compensation studies completed by reputable outside compensation companies) that shall be reviewed annually by the Board. The Board will consider cost of living changes and a compensation analysis that includes an annual comparison with organizations of similar size and scope | Executive Committee | Within two weeks after item 14 is completed |
| 1. The Executive Director will prepare a written response to the evaluationwhich is given to the Executive Committee. | Executive Director | Within two weeks after report is provided |
| 1. A summary of the evaluation, prepared by the Secretary, and the written response by the Executive Director will be placed in the Executive Director’s personnel file, held by the AGD attorney. If necessary, subsequent Executive Committee members may use these documents to refine the evaluation process. | Secretary | Within one week after item 16 is completed |
| 1. The Executive Director will use the Corporate Objectives as approved by the Board to finalize AGD goals. | Executive Director and Staff | Administrative year |

**AGD Executive Director Appraisal**

**CONFIDENTIAL**

Executive Director\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

The areas of managerial performance should be rated with this scale (you may use an X in each box):

**1** = Needs improvement/doesn’t meet expectations

**2** = Meets expectations

**3** = Exceeds expectations

N/S = Not sure/unable to rate (based upon lack of knowledge or relevant information)

1. **Organizational Leadership: Vision, Mission, and Strategies**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| How satisfied are you that the executive director: | | **1** | **2** | **3** | **N/S** |
| 1. | Exhibits the intellectual competency, enthusiasm and understanding of complex issues to develop, with the board, a vision for the future. |  |  |  |  |
| 2. | Is a strategic planner & thinker, able to move AGD forward by  translating policy decisions into action plans. |  |  |  |  |
| 3. | Is effective at leading change, including offering new ideas; having a sense of what must change and/or remain the same in order to accomplish AGD’s mission. |  |  |  |  |
| 4. | Displays courage & risk-taking initiative—tackling and/or solving  difficult problems or taking the lead on complex issues. |  |  |  |  |
| 5. | Exhibits willingness to learn and pursue best & new practices e.g., via conversations and outreach to board members |  |  |  |  |
| 6. | Exhibits integrity and credibility in judgment and  decision-making. |  |  |  |  |

What do you perceive as the major strengths of the executive director in this area?

How can the executive director do better in this area?

**Management: Operational & Programmatic**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| How satisfied are you that the executive director: | | **1** | **2** | **3** | **N/S** |
| 7. | Ensures appropriate systems and non-financial resources are in place, and functioning effectively, to facilitate smooth day-to-day operations of AGD |  |  |  |  |
| 8. | Demonstrates substantive knowledge regarding programs/services and identifies changes or new opportunities |  |  |  |  |
| 9. | Executes - and/or ensures staff execution - with reliability, high  standards and within resource constraints |  |  |  |  |
| 10. | Exhibits “executive” skills, e.g., is self-directed, adaptive, results  oriented |  |  |  |  |
| 11. | Effectively executes and reports on status or obstacles for  completion of the corporate objectives set for the year |  |  |  |  |

What do you perceive as the major strengths of the executive director in this area?

How can the executive director do better in this area?

1. **Fiscal & Resource Management**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **How satisfied are you that the executive director:** | | **1** | **2** | 3 | N/S |
| 12. | Has a clear understanding of the current and future financial resources needed to realize AGD’s mission. |  |  |  |  |
| 13. | Links strategic and operational planning with the budget. |  |  |  |  |
| 14. | Presents, with the Treasurer, financial reports to the board on a regular basis, including forecasts and an annual budget for approval |  |  |  |  |
| 15. | Ensures financial transparency, allowing the board to  monitor AGD’s finances and to make informed financial decisions. |  |  |  |  |
| 16. | Effectively, accurately & diligently manages program resources, revenue, expenses, cash flow, forecasting, etc. |  |  |  |  |
| 17. | Ensures appropriate reporting & policies are in place and/or enacted in order to meet corporate objectives |  |  |  |  |
| 18. | Effectively supports the Treasurer |  |  |  |  |
| 19. | Ensures the annual audit is conducted appropriately and that a clear, reasonable annual budget is developed |  |  |  |  |

What do you perceive as the major strengths of the executive director in this area?

How can the executive director do better in this area?

1. **External (Board Partnership, Member Focus)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **How satisfied are you that:** | **1** | **2** | **3** | **N/S** |
| 20 | The Executive Director does an effective job of clarifying roles of the board compared to roles of the Executive Director. |  |  |  |  |
| 21. | The executive director and staff have built effective working  relationships with officers, the board, and council/committee chairs. |  |  |  |  |
| 22. | The executive director raises issues and provides adequate  information to inform board discussions. |  |  |  |  |
| 23. | The executive director serves as a supportive, accessible &  competent resource to board members |  |  |  |  |
| 24. | The executive director serves as an effective and professional  ambassador. |  |  |  |  |
| 25. | The executive director demonstrates commitment to the organization. |  |  |  |  |

What do you perceive as the major strengths of the executive director in this area?

How/can the executive director do better in this area?

**SUMMARY**

From your perspective, what have been the Executive Director’s most significant accomplishment(s) and/or challenge(s) during this past year? (Note: A written self-evaluation/accomplishments will be provided by the Executive Director)

1. What are areas in which you/the board can provide better support to the ED?
2. Other comments:

***Policy Type: IV.*** *Executive Limitations*

**A. General Executive Stewardship**

The Executive Director shall not cause or allow any practice, activity, decision, or organizational circumstance that is either imprudent or in violation of commonly accepted business and professional ethics.

1. With respect to treatment of volunteers and staff, the Executive Director shall ensure that conditions are humane, fair, or dignified. (See IV.B. Staff Treatment)

2. Budgeting any fiscal year or the remaining part of any fiscal year will conform to the *Guiding Documents*, acceptable accounting procedures and showing a generally acceptable level of foresight. (See IV.C. Budgeting)

3. Actual financial conditions will conform to the *Guiding Documents* and acceptable accounting procedures. (See IV.D. Financial Condition)

4. Information and advice to the Board shall be timely, complete, and accurate. (See IV.H. Communication and Counsel to the Board)

5. Assets shall be protected, adequately maintained and without unnecessary risk. (See IV.F. Asset Protection)

6. With respect to employment, compensation, and benefits to employees, consultants, contract workers, and volunteers, the Executive Director will ensure fiscal integrity and public image. (See IV.G. Compensation and Benefits)

7. At least two (2) staff executives will be informed of Executive Director and Board issues and processes. (See IV.E. Emergency Executive Succession)

1. The Executive Director shall follow designated internal purchasing policies
2. The Executive Director shall award purchases or other contracts without conflict of interest.

10. The AGD’s Executive Director shall be tasked with ensuring that appropriate solicitation language is present on the AGD dues statement; that the Advocacy Fund is appropriately publicized to membership; that the fund complies with all legal requirements; and that there is appropriate staffing for administration of the fund.

11. The Executive Director will seek approval from the Executive Committee of all outside entities who wish to participate in the AGD Corporate Sponsor Program.

12. The Executive Director will inform the Executive Committee to address any concerns about all outside entities who wish to align with AGD.

**Monitoring:** This is a compilation of individual policies which are monitored separately

Approved: 22-23 Board Meeting II

***Policy Type: IV.*** *Executive Limitations*

**B. Staff/Volunteer Treatment**

With respect to treatment of paid and volunteer staff, the Executive Director shall ensure that workplace conditions and organizational culture are humane, fair and dignified.

Accordingly, he or she will:

1. Operate with personnel and operational procedures which clarify personnel rules for staff, provide for effective handling of grievances, and protect against wrongful conditions;

2. Create an environment whereby staff members may express dissent.

3. Allow staff to grieve to the Board when (A) internal grievance procedures have been exhausted and (B) the employee alleges either (i) that Board policy has been violated to his or her detriment or (ii) that Board policy does not adequately protect his or her human rights;

4. Acquaint staff with their rights under this policy;

5. Operate with clarified expectations, job descriptions and authority for volunteer staff. Volunteer job descriptions should include the following (see II. J. Charges of Councils and Committee):

* 1. Title of position and areas of responsibility,

1. Goals/outcomes,
2. Specific duties,
3. Position eligibility requirements,
4. To whom the volunteer is responsible,
5. Reporting/monitoring,
6. Term of assignment,
7. Finances,
8. Application process.

6. Operate with written performance evaluations for staff that document progress toward objectives and identify areas that need improvement;

7. Provide staff development.

**Monitoring:** Internal report—January**Policy Type: IV**. Executive Limitations

**C. Budgeting**

Budgeting any fiscal year or the remaining part of any fiscal year shall materially conform to the *Guiding Documents*, follow generally acceptable levels of foresight and accounting principles.

Accordingly, the Executive Director will:

1. Follow the budget requirements of the Investment Policy Statement (IPS);

2. Provides sufficient information to enable accurate projection of revenues and expenses, separation of capital and operational items, cash flow, and disclosure of planning assumptions;

3. Plans the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period;

4. Comply with the following fiscal goals:

FG 1—Actual excess or deficit from operations for the fiscal year meet the figure established by the Board in the revised budget, and the budget should be balanced before inclusion of Investment Fund income.

FG 2—The scientific session should net minimally 20%, with paid social events being run to break even or make a profit.

FG 3—Dues revenue projections should assume zero membership growth or less.

5. Ensure that the current assets at any time are at least twice current liabilities and a cash safety reserve of at least $250,000 at any time;

6. Provide in the annual budget at least $100,000 per annum for the Board Contingency Fund; the Contingency Fund shall be used for funding new programs or initiatives that are not in the current operating budget, and which may or may not necessarily give the AGD a competitive advantage but are necessary in providing operating funds to implement a new program or make improvements in an existing program.

In general, requests must have sufficient time for review by the Executive Director and Treasurer before the Executive Director forwards the request to the Board or Executive Committee (depending on funding level requested and the existing approval guidelines) for consideration.

Requests of $50,000 or more must have an accompanying business plan.

7. Include financial impact statements for project, program or policy alternatives submitted to the Board for dialogue and deliberation;

8. Include direct budgetary discussion and input from councils, committees, and/or council and committee chairs, to their respective staff liaisons, and their associate Executive Directors. In determining the overall budgets of those departments, all programs should be prioritized as follows:

1. Is it crucial to the overall organization’s health and well-being?
2. Is it necessary?
3. Is it an optional project, secondary to items A and B?

**Monitoring:** Internal report—July (include Board members-elect)

Amended Board Zoom 6-29-21

***Policy Type: IV.*** *Executive Limitations*

**D. Financial Condition**

With respect to the actual, ongoing condition of the organization’s financial health, the Executive Director will ensure that actual expenditures from Board priorities established in *Guiding Documents* are met*.*

Accordingly, he or she will:

1. Only expend funds that have been received in the fiscal year to date;

2. Attain prior approval from the Board for incurring debt;

3. Conserve restricted reserves;

4. Inform the Board of conducting inter-fund shifting between divisions in amounts greater than $10,000 and, attain prior approval from the Board for amounts greater than $30,000. Intra-fund shifting (within a division) may be conducted without Board reporting or approval; All transfers within a division would require notification to the President and the Treasurer;

5. Conserve cash in the amount needed to settle payroll and debts in a timely manner;

6. Timely and accurately make and/or file tax payments or other government-ordered payments.

7. Materially conform actual allocations to Board priorities as stated in *Guiding Documents;*

8. Alert the Board when the income falls substantially below projections in the budget, or when expenses increase substantially above projections in the budget;

9. Operate with written procedures that clarify reimbursement policies, define the handling and use of designated and restricted funds, and protect against wrongful conditions (Financial Policies);

10.  Ensure revenue related discounts are treated in the same manner as expenses consistent with number 4 above.

11.  Ensure profit making programs operate with a goal of 20% net (inclusive of direct costs, salary costs, council/committee costs and overhead) with proper evaluation by the agency involved, and the Board.

12. Ensure that programs with low value or low satisfaction attain an action plan, by the agency involved, to take corrective measures in order to continue.

**Monitoring:** Internal Report—Quarterly (September, January, March, June)

External Auditors—January

Direct Inspection—Internal report by ED and randomly selected expense reports (from the current year) and corporate credit card bills of Board and staff shall be reviewed annually in March against the written financial policies pertaining to travel and reimbursable expenses and corporate credit card use while on association business.

***Policy Type: IV.*** *Executive Limitations*

**E. Emergency Executive Succession**

In order to protect the Board from sudden loss of Executive Director services, the Executive Director will:

1. Have at least two other executives familiar with Board and Executive Director issues and processes;
2. Provide the executive committee with information on:
   1. Executive search firms for associations and non-profit organizations
   2. An interim Executive Director to handle day-to-day operations of headquarters during the search process or in case of incapacity.

**Monitoring:** Internal report—May

***Policy Type: IV.*** *Executive Limitations*

**F. Asset Protection**

The Executive Director must ensure that assets will be protected, adequately maintained and not unnecessarily risked.

Accordingly, he or she shall:

1. Insure against theft and casualty losses to at least 80 percent replacement value and against liability losses to Board members, staff, or the organization itself in an amount greater than the average for comparable organizations;

2. Allow only bonded or insured personnel access to material amounts of funds;

3. Ensure plant and equipment are properly maintained~~;~~

4. Protect the organization, its Board, or staff from claims of liability;

5. Shall only make any unbudgeted equipment purchases less than $50,000 or commit the organization to any expenditure of greater than $100,000; without prior Board approval,

6. Make any purchase:

1. wherein normally prudent protection has been given against conflict of interest;
2. of more than $1,000 having first obtained comparative prices and quality;
3. of more than $10,000 having a stringent method of assuring the balance of long-term cost and quality.

7. Receive, process, or disburse funds under controls that are ~~in~~sufficient to meet the Board-appointed auditor's standards.

8. Acquire, encumber or dispose of real property with prior Board approval.

9. Make any long-term investments with prior Board approval.

10. Operate with written procedures for the retention and disposal of association business documents, memorabilia, guidebooks, correspondence, and other important papers.

11. Operate with a disaster plan.

**Monitoring:** Internal report—April

***Policy Type: IV.*** *Executive Limitations*

**G. Compensation and Benefits**

With respect to employment, compensation and benefits to employees, consultants, contract workers, and volunteers, the Executive Director shall protect against jeopardy to fiscal integrity or public image. Accordingly, he or she may not:

1. Change his or her compensation and benefits;

2. Promise or imply guaranteed employment to any staff;

3. Establish current compensation and benefits which:

* 1. Deviate materially from the geographic or professional market for the skills employed;
  2. Create obligations over a longer term than revenues can be safely projected.

4. Establish deferred or long-term compensation and benefits which:

1. Cause unfunded liabilities to occur or in any way commit the organization to benefits which incur unpredictable future costs;
2. Provide less than some basic level of benefits to all full time employees, though differential benefits to encourage longevity in key employees are not prohibited;
3. Allow any employee to lose benefits already accrued from any foregoing plan;
4. Treat the Executive Director differently from other comparable key employees;
5. Are instituted without prior monitoring of these provisions.

**Monitoring:** Internal report—February

***Policy Type: IV.*** *Executive Limitations*

**H. Communication and Counsel to the Board**

With respect to providing information and counsel to the Board, the Executive Director shall keep the Board informed. Accordingly, he or she shall:

1. Keep the Board be aware of relevant trends, anticipated adverse media coverage, material external and internal changes, and particularly changes in the assumptions upon which any Board policy has previously been established;

2. Submit the required monitoring data (see policy on *Monitoring Executive Performance*) in a timely, accurate, and understandable fashion, directly addressing provisions of the Board policies being monitored

3. Marshal for the Board as many staff and external points of view, issues, and options as needed for fully informed Board choices;

4. Present information in an easily understandable manner;

5. Provide a mechanism for official Board, officer, or committee communications;

6. Deal with the Board as a whole except when

1. fulfilling individual requests for information or
2. responding to officers or committees duly charged by the Board.

7. Report in a timely manner an actual or anticipated noncompliance with any policy of the Board;

8. Indicate correspondence with Board as *FY*I (for your information), *NRN* (no response necessary), or *response requested.*

9. Include member input;

1. Operate with a system for complaints by members, with a response in a timely manner.

**Monitoring:**  Internal Report—July

***Policy Type: V.*** *Board Policy Statements*

**A. Advertising Policy**

**Advertising Policy of the Academy of General Dentistry**

The AGD welcomes advertising in its publications or website as an important means of keeping general dentists informed of products and services for the practice of dentistry or lifestyle. These standards apply to all product- and service-specific promotional material submitted to AGD programs.

A.General Requirements

1. Advertisements and/or promotions must not be deceptive or misleading. All claims must be fully supported and meaningful in terms of performance or any other benefit. The AGD requires the right to request additional information as needed.
2. Advertisements will not be accepted if they conflict with or appear to violate AGD policy.
3. Advertisements will not be accepted if they are deemed offensive in either text or artwork, or contain attacks of a personal, racial, or religious nature.
4. The AGD reserves the right to decline advertising for any product subject to a governmental agency review, recall, challenge or warning; any technique and/or product and/or organization that is the subject of an unfavorable or cautionary report by an agency, committee, council, or by the Editor of the AGD, or any other agency of organized dentistry; or the subject of any unprofessional, unseemly, or unscrupulous marketing techniques.
5. By submitting advertising copy, advertisers certify that such copy and the advertised product and/or service is in accord with applicable government laws and regulation, such as equal opportunity laws and regulations covering new drug applications and prescription drug advertising. For example, products that require approval by the United States Food and Drug Administration (FDA) and/or other such agencies must receive this approval before being eligible for advertisement and must include full disclosure when required. It is the responsibility of the advertiser to conform to FDA regulations and other such agencies for the content of the claims made for products and/or service. Acceptance of advertising in AGD publications and/or on the AGD website is not to be construed as a guarantee that the manufacturer has complied with such laws and regulations.
6. Complete scientific and technical data, whether published or unpublished, concerning product and/or service safety, operation, or usefulness will be required upon request by the AGD.
7. The advertisements may cite, in footnotes, references from dental and other scientific literature provided that the reference is truthful and is a fair and accurate representation of the body of the literature supporting the claim.
8. Comparative advertising claims for competing products and services must be substantiated adequately. Companies wanting to make comparative claims must comply with the AGD Criteria for Substantiation of Comparative Claims. This document can be obtained upon request via the AGD publishing/production design department. Unwarranted disparagements or unfair comparisons of a competitor’s products or services will not be accepted.
9. Display advertising with respect to employment, purchase of practice, participation or any other contractual relationship with any dental care delivery mode or system may be accepted for publication. Such opportunities also may be advertised in the classified section of AGD publications as well as the AGD Career Center.
10. An advertisement for an educational course is eligible if it is offered by a provider that is recognized by the AGD Program Approval for Continuing Education (AGD PACE) or conducted under the auspices of the Continuing Education Recognition Program (ADA CERP) program. This approval must be clearly indicated in the advertising and/or promotion.
11. The AGD will accept advertisements and/or promotions from dental organizations and/or associations, provided that the organizations are PACE- and/or CERP- approved or will have received PACE- and/or CERP-approval upon time of magazine publication and/or Web placement.
12. The eligibility of an advertisement for an educational course conducted by or under the auspices of an organization or commercial entity other than the aforementioned will be determined on a case-by-case basis.
13. The AGD will not accept advertising for tobacco or alcohol products.
14. The AGD will accept advertising for products and/or medications designed for smoking cessation.
15. The AGD will accept advertising for the AGD website. The advertisements and/or promotions must adhere to the advertising policies included in this document.
16. Classified advertisements will be accepted for placement in AGD publications and/or the AGD website. Classified advertisements may offer advertising for job placement, dental product sales, and/or dental facility sales.
17. Books and electronic media are eligible for advertising, but a sample may be required in advance for review.
18. Product and/or service reviews printed in AGD publications do not constitute approval by the AGD.
19. The advertiser and the product or service being offered should be clearly identified in the advertisement. In the case of drug advertisements, the full generic name of each active ingredient will appear.
20. Advertising that simulates editorial content must be clearly identified as advertising. The word “advertisement” and/or “advertorial” must be displayed prominently.
21. Placement of advertising in the publication and/or on the AGD website will be determined by rates and specifications outlined in the AGD media kit. Special placement of advertising will be considered by the AGD Editor. The AGD Editor has the right to deny any specific advertising placement for any reason at any time.
22. All advertisement contract position clauses are treated as requests. Since advertising inventory changes constantly, the AGD cannot guarantee fixed positioning.
23. Guarantees may be used in advertisements provided the statements that are “guaranteed” are truthful and can be substantiated. However, no guarantee should be used without disclosing its conditions and limitations. When space or time restrictions preclude such disclosures, the advertisement must clearly reveal where the full text of the guarantee can be examined before purchase.
24. Advertisements must not quote the names, statements, or writings of any individual, public official, government agency, testing group, or other organization without their express written consent. Guidelines for the use of testimonials are available upon request.
25. The publication of an advertisement is not to be construed as an endorsement or approval by the AGD or any of its constituents, councils, committees, or task forces of the product or service being offered in the advertisement unless the advertisement specifically includes an authorized statement that such approval or endorsement by the AGD has been granted.
26. In consideration of publication of an advertisement, the advertiser and its agency, jointly and severally, agree to indemnify and hold harmless the AGD, its officers, agents, and employees against expenses (including legal fees) and losses resulting from the publication of the contents of the advertisement, including, without limitation, claims or suits for libel, violation of privacy, copyright infringement, or plagiarism.
27. The AGD will not be liable for any failure to publish any advertisement accepted by the AGD; however, the AGD will use reasonable effort to place such advertisement in subsequent available space.
28. The AGD may change the terms set forth herein at any time, provided that no such change applies to advertisements whose closing date preceded the announcement of the change.
29. In the event of nonpayment, the AGD reserves the right to hold the advertiser and/or its agency jointly liable for such monies as are due and payable to the AGD.

B. Advertising Acceptance and Rejection

1. All advertisements submitted for display in an AGD publication and/or on the AGD website are subject for review.
2. The AGD Editor and/or Communications, Director have the right to refuse any advertising for any reason at any time.

C. Advertising Sales

1. The AGD will produce a media kit that contains advertising information, including specifications and rates, every year.
2. The AGD media kit will include information for both publication and AGD website placement, as well as for classified advertising placement.
3. The AGD media kit will include sponsorship information for the AGD Scientific Session and/or AGD events and/or products and services.
4. A media kit will be made available annually.
5. All insertion orders, and provisions regarding advertising policies, are to be governed by the laws of the State of Illinois, without regard for its principles concerning conflict of laws.
6. Rates for advertising in the publications and/or the AGD website will be established by the AGD Communications, Director in cooperation with the Executive Editor and AGD sales associates.
7. The AGD’s advertising sales representatives will have no control over editorial content before it is published.

D. Mailing Lists

1. Rates for mailing list purchase will be established by the Editor, Communications, Director, and the AGD Coordinator, Circulation.
2. Advertising copy for continuing education courses, meetings, programs or services must be submitted to the AGD publishing/production design department for editorial review before it will be accepted for mailing to AGD members and/or nonmembers via AGD mailing lists.
3. The AGD Editor and Communications, Director are authorized to determine eligibility for the purchase of mailing lists. The AGD Editor and Communications, Director have the right to refuse any request for mailing list purchase for any reason at any time.
4. Mailing lists will contain only postal addresses of the names included. The AGD will not release the e-mail addresses, phone numbers, and/or fax numbers of its members or nonmembers for the purpose of mailing lists.

***Policy Type: V.*** *Board Policy Statements*

**B. AGD Advocacy Fund Operational Protocols**

**INTRODUCTION**

AGD’s market research indicates that its members define “advocacy” in many different ways. For the purpose of this operating protocol, advocacy is defined exclusively as actions taken in conjunction with federal legislation or regulation; state legislation or regulation; organized dentistry; and, third parties including insurance companies, manufacturers, and advocacy groups.

Furthermore, it is imperative to note that the House of Delegates and Board created this fund for the sole purpose of increasing advocacy efforts. Therefore, pause should be given before approval of actions or programs which would relieve constituents (or the AGD for that matter) of already budgeted and/or ongoing expenses and/or established program. The key is to focus on new or enhanced programs, with such being provable to the Board. Finally, in addition, all requests should demonstrate independent sustainability, i.e., the fund is not to be used for continuing a program. (e.g., One-time start-up costs for a state Capitol Day, but not for subsequent years.)

1. The AGD Board shall have sole authority to make expenditures from the Advocacy Fund, after first consulting with the councils identified in number 2.
2. The AGD Board shall solicit the input of the Legislative and Governmental Affairs and Dental Practice Councils, and may solicit the opinion of other agencies, constituents or, individuals relative to expenditures from the fund, but such opinions are advisory. The Board may also consult with legal counsel to determine the legality of such expenditures.
3. All requests shall be in AIR format, evaluated by the appropriate AGD agency or Executive Committee, with a recommendation then forwarded to the Board.
4. The Board may consider priorities, both within the scope of federal and state activities, based on:
5. AGD’s strategic plan;
6. HOD policy;
7. Board policy;
8. Exigent circumstances;
9. Input from stakeholders, with a focus on those issues that would be of greatest effect upon the largest number of AGD members, either directly or indirectly, and to the extent which the advocacy effort would not be successful if the Advocacy Fund was not utilized (e.g., if there were 10 requests but only enough funding for 5, and 3 of them were of national implication, and 7 single constituents, then the 3 national requests would get funded, and the 2 largest constituents. However, there may be case-by-case determination. For instance, if a constituent has done something historically and is just tapping into AGD money to avoid spending its own money, then that would be a negative consideration. Also, there are different levels of urgency. Hosting a lobby day would take a back seat to litigating the right to advertise FAGD/MAGD.)
10. AGD’s Executive Director shall be tasked with ensuring that appropriate solicitation language is present on the AGD dues statement; that the Advocacy Fund is appropriately publicized to membership; that the fund complies with all legal requirements; and that there is appropriate staffing for administration of the fund.
11. AGD’s Treasurer, pursuant to Chapter IX, Section 2. E of the AGD Bylaws shall have daily oversight of the fund with assistance from the Executive Director and the Vice President, Finance.
12. AGD staff shall create and maintain a separate fund called the Advocacy Fund.
13. The fund can be used for both individual constituent issues or for multiple constituent issues or AGD issues.
14. There shall be communications promoting the fund periodically in *AGD Impact* and *AGD in Action*. Financial details of the Advocacy Fund activity will be included in the financial reports that are provided to the Board and HOD.
15. All requests for funds shall be reduced to writing in the form of a modified AIR, with the addition of “*how does the issue affect members, how many members are affected, and long-term versus short-term impact*.”
16. During the first full calendar year of operation, 2010, the fund balance shall be maintained at the level of at least 50% of contributions collected as of March 31, 2010.  After the first year, for any subsequent calendar year, the optimal balance of the Fund shall be defined as 50% of the total balance in the Fund as of March 31 of said calendar year. Any request that would result in a fund balance falling below the optimal amount would require the approval of a super-majority of the Board (67% of members present and voting)*.*
17. Stories will be written about the fund and contributors in *AGD Impact* using the allotted advocacy pages. As much as a total of 10% of the balance of the fund as of October 31 of each year is allocated to marketing costs of marketing the fund, such as advertisements, direct solicitation letters, the cost of pins, etc., without the further approval of the Board. However, all marketing costs that result in total marketing costs exceeding 10% of the balance of the fund must be approved by the Board via an AIR and then paid for by the fund*.*
18. Staff will generate all reports for review by the Board and the HOD.
19. Any operating information, such as compliance with state reporting laws, will be identified by the requesting party and taken into consideration by the Board as described in number 4 above.
20. The hosting of fundraisers is not an appropriate use of the Advocacy Fund.

**Action Item Report**

Prepared by: Daniel Buksa, JD, CAE, Associate Executive Director, Public Affairs

Date of Report:

Staff Resources:

Total Financial Cost:

Budget Ramifications: $

Action/Timeline:

**Resolved:**

**Introduction:**

**Strategy**:

**Work Plan**:

**Necessary Information:**

**What We Don’t Know:**

**Pros and Cons:**

**Pros:**

**Cons:**

**How does the issue effect members?**

**How many members are affected?**

**Long term versus short term impact?**

**How it Fits into the Strategic Plan:**

**How it Fits into the Market Research:**



**Does this conflict with the Constitution and Bylaws, an AGD HOD Policy or Board Policy? If yes, please provide the conflict and how you propose to resolve it:**

**Responsible Staff Liaison & AGD member:**

***Policy Type: V.*** *Board Policy Statements*

**C. Alliances and Coalitions**

Strategic Alliances

Background

The use of strategic alliances as a strategy is fundamental to the growth of a successful association. The use of strategic alliances will result in: increased exposure of associations to these alliances as competitive entities; and increased requests for strategic alliance opportunities targeting the constituencies of the association.

The opportunities are as numerous for the association in pursuit of fulfilling its mission and goals. These alliances can be the means to address needs in virtually any functional area of the association in the environment of limited resources. Some of the most common areas of alliance are for:

* Generating revenue;
* Improving and expanding members services;
* Reducing operational costs and/or making operations more efficient; and
* Strengthening the association's brand and extending marketing exposure.

In order to help ensure the success of any strategic alliances undertaken, it is incumbent on the AGD to understand the critical aspects of strategic alliances and be familiar with the five-step process to:

* Identify,
* Assess,
* Establish,
* Manage,
* Evaluate strategic alliances in a manner that supports the mission and goals of the association.

This professional practice statement uses the following definition of a strategic alliance:

*Strategic alliance—A strategic alliance is a cooperative, mutually beneficial entity formed by two or more separate organizations for strategic purposes that allocates operational responsibility and financial risks and rewards to each member while preserving organizational identity and autonomy. In addition, a strategic alliance can be thought of as a specific decision on the part of the organizations to collaborate by leveraging each other’s unique core competencies for their mutual benefit and for the benefit of the public, members, and/or other stakeholders.*

Policy Position

Understanding strategic alliances is a required competency of association executives. The ability of association executives to identify and assess the potential risks, rewards, uses of strategic alliances, and the creation, management, and evaluation of a successful strategic alliance is a necessary professional practice.

Professional Practices for the Association Executive

**Foundation for the Use of Strategic Alliances**

The following protocol relate to establishing competencies regarding the use of strategic alliances to meet the goals of the AGD.

* The Executive Director will:

1. Need to have (or develop) an understanding of strategic alliances and their implications;
2. Need to have sufficient managerial expertise to create, assess, implement, manage, and terminate strategic alliances to serve the best interests of the association.

Assessment of the Use of Strategic Alliances

The following professional practices relate to assessing the use of strategic alliances to meet the goals of the AGD.

The Executive Committee and/or Board will:

* Identify a range of strategic options for consideration that may potentially meet the identified goals of the AGD. These options might include the use of a strategic alliance.
* Assess the potential use of a strategic alliance based on measurable criteria. The criteria must be weighed for each organization, but could include some or all of the following areas:

1. Characterize the risk (financial, legal, resource, membership satisfaction, membership perception, public opinion, etc.) and the impact on the AGD if the cooperative relationship is not done well or not done at all;
2. The area of focus for the alliance is undergoing a period of rapid expansion or contraction;
3. The AGD has a limited amount of resources available for the activity;
4. Significant differences are seen between the focus of the potential alliance and the AGD’s existing infrastructure, resources to be allocated, financial return, or perceived member satisfaction/need; and
5. Ask if a potential strategic alliance is relevant and appropriate to the mission, goals and strategic plan of the AGD and define/demonstrate this relevance to volunteer leadership.

* Define how the existing strategic goals, including but not limited to, financial, service, image, organizational positioning and relationship goals, of the AGD may be achieved through strategic alliances. The strategic goals of the AGD should be established. During this assessment phase, those goals should be evaluated with respect to fulfilling them via the use of strategic alliances.
* Fully disclose the relevance, goals, potential risks and perceived value to AGD volunteer leadership and obtain approval by a majority of the EC or Board to proceed prior to entering into any contracts or negotiations with potential alliance partners.
* Identify the internal critical competencies and resources needed to achieve the strategic goals.
* Assess the current core competencies of the AGD’s staff related to these goals and identify gaps between actual and needed competencies.
* Clearly define the desired value proposition of any strategic alliance under consideration for the AGD.
* Assess the return on investment of the potential alliance in the following areas:
  + Membership
  + Competitive advantage
  + Financial risks and rewards
  + Organizational capability
    - Consider the following areas (among others the organization identifies) when identifying and selecting potential partners for “fit”:
* Strategic fit (organizational goals)—Are we on the same page? Do we want the same things? Do we have similar goals?
* Operational fit—Can we make it happen together better than alone?
* Level of commitment—Will each of us stick with it, and if so, for how long?
* Reputation/ethical fit—Do we both have a comparable high regard in the dental community? Do we trust and respect each other?
* Chemistry fit—Do we have a rapport?
* Cultural fit—Do we share the same values?

Creation of Strategic Alliances

The following professional practices relate to creating a strategic alliance to meet the goals of the AGD.

* Identify the driving external forces that will have significant impact on the AGD as they relate to the potential alliance.
* Identify the critical competencies and resources needed to achieve the goals. Assess their existence within the AGD related to these goals and the alliance and then identify gaps between actual and needed. Identify how the alliance will eliminate or mitigate those gaps.
* Conduct primary research on the following critical areas:
  + Which problems will your members face during the next five years?
  + Which types of solutions will your members require for these problems?
  + Which attributes should the solution to these problems have?
  + What does the value chain look like for delivery of this product or service?
  + How are you and your competitors positioned to deliver these attributes and value to your members?
  + What are the AGD’s competitive strengths and weaknesses with regard to this project, issue, or service area?
  + How will the AGD’s core competencies be sustained?
    - Assess the financial impact of the strategic alliance including, but not limited to, the impact on the following:
      * Start-up investment
      * Gross revenue
      * Gross expense
      * Cash flow
      * Return on investment
      * Impact on AGD’s reserves
      * Exit costs
        + Identify the areas with the greatest potential risk to the AGD including, but not limited to, the following:

Legal risk

Financial risk

Public perception risk

Member perception risk

* Conduct a mini strategic planning process around the alliance with the potential partner. This should be done before final agreements are negotiated and signed.
* Identify clear rules of engagement with the potential strategic partner including, but not limited to, the following areas:
  + Marketing
  + Operations
  + Technology use and integration
  + Legal and intellectual property
  + Staff
    - Identify specific conflict resolution processes with the strategic partner.
    - Define the role of staff and volunteer leadership within the alliance.
    - Include staff at all levels as appropriate to research, plan, and develop the strategic partnership to create staff enthusiasm and support.
    - Include leadership at all levels as appropriate to research, plan, and develop the strategic partnership to allow for informed and accurate leadership assessment and decision-making.
    - Create specific, written business plans outlining the strategic alliance for review and approval by leadership. These plans should include but not be limited to the following information:

1. Describe the purpose of the agreement, specifically how it serves the membership and the mission of the AGD;
2. Describe spirit of the venture and its future vision;
3. Identify key objectives, responsibilities and benchmarks;
4. Describe the guidelines and processes for separate and collaborative decision-making by leadership, staff and partners;
5. Identify resource commitments (staff and financial);
6. Identify the financial philosophy behind the agreement;
7. Describe the assumption of risks and the division of rewards;
8. Identify rights to products, inventions, and/or intellectual capital as relevant to the alliance;
9. Outline confidentiality and non-competition agreements;
10. Outline the anticipated legal and operational structure;
11. Describe the transformation of the alliance from current form to future form;
12. Describe the process of conflict resolution;
13. Define the life expectancy and cycle of the alliance, if finite;
14. Describe the termination process for both parties.
    * + Have the AGD’s legal and financial counsel review all business plans and legal documentation prior to agreement. Consult with the AGD’s attorney to determine and prepare the appropriate legal documents, such as a memorandum, letter, document of understanding, or a contract.
      + Keep leadership informed of business plans and legal documentation prior to agreement, as appropriate.

Management of Strategic Alliances

The following professional practices relate to managing strategic alliances on an ongoing basis, post initial implementation.

* Identify specific champions within senior management from both parties to lead the development and management of the strategic alliance as appropriate through all levels of the organization. Champions may be different during the development and management phases. Build staff into every component of alliance management.
* Create a steering committee, or otherwise assign responsibility to appropriate senior management and leadership, to monitor, evaluate, make recommendations, and regularly communicate to the AGD and its alliance partner(s) on the following:
  + Partner relations
  + Alliance performance
  + Problem solving
  + Policy
    - Identify specific mechanisms to help both volunteer leadership and staff to allocate and organize their time appropriately for the management of the alliance.
    - Create performance measurement, recognition, compensation, and other mechanisms by which the acquisition of alliance skills and the successful alliance implementation are recognized and transferred within AGD staff.

Evaluation of Strategic Alliances

The following professional practices relate to the periodic monitoring of the performance of strategic alliances once in place.

* Identify specific performance measurement criteria to evaluate the success of the alliance and identify specific benchmarks for ending or renewing the alliance.
* Create a formal process to periodically review the operations and success of the strategic alliance and make modifications in strategy as necessary.

**Organizational Alliance Assessment**

Proposed Assessment

**Prepared by:**

**Date of Report:**

**Name of Organization proposing an Alliance**:

**Current Number of Alliances:**

**Type of Proposed Alliance:**

**□ Friend of the AGD □ Project-based Alliance □ Issue-based Alliance**

**Financial Cost:**

**Staff Resources:**

**Action/Timeline:**

**Task Force Recommendation:**

**Introduction**

**Type of Proposed Alliance**

**□ Friend of the AGD**

**□ Project-based Alliance**

**□ Issue-based Alliance**

**Brief description of proposed alliance**

**The value proposition of the proposed alliance**

*(What does the AGD hope to achieve? How will it determine success?)*

**Metrics for the proposed organizational alliance**

*(Specify how the value proposition will be measured and reported.)*

**Accountability for the proposed alliance**

*(Specify all groups, if more than one. All accountable groups should review this proposed alliance assessment and be included in the submitting signatures)*

**Necessary Information**

**Assess the return on investment**

* Membership: *Will we increase recruitment, member value, enhanced member/public perception, etc*.
* Competitive advantage: *Will this proposed alliance provide or remove a competitive advantage?*
* Financial risks and rewards: *Characterize the risk (financial, legal, resource, membership satisfaction, membership perception, public opinion, etc.) and the impact on the association if the business initiative is not done well or not done at all*.
* Organizational capability: *Determine whether additional resources will be needed or provided, including leadership time, staff time, or additional financial resources*.
* Critical competencies: *Does the AGD (leadership and staff) have the competency to complete the goals of the alliance? If yes, define the competencies, if not, define the gaps.*

**How do our organizations fit together?**

* Strategic fit (business goals): *Are we on the same page? Do we want the same things? Do we have similar goals?*
* Operational fit: *Can we make it happen together better than alone?*
* Level of Commitment: *Will each of us stick with it, and if so, for how long?*
* Reputation/Ethical fit: *Do we both have a comparable high regard in the community? Do we trust and respect each other?*
* Chemistry fit: *Do we have a rapport? Do we have functional relationships between the organizations (staff)/organizational leaders?*
* Cultural fit: *Do we share the same values?*

**How the proposed alliance fits into the Strategic Plan**

*Define (specifically) how the existing strategic goals, including but not limited to, membership value, advocacy, financial, image, organizational positioning, and relationship goals, of the association. Can this alliance unambiguously tie into a specific strategic goal or objective?*

**Term of proposed alliance**

*(Calendar year for standard, Friends of the AGD agreement, specify terms for others, as well as period for annual or semiannual mutual assessment.)*

**What We Don’t Know**

**Pros and Cons**

**Pros:**

**Cons:**

**Recommendation of Organizational Alliance Task Force**

**Accountable Staff and Council/Committee Chair(s):**

Checklist Questions:

* Does it relate to a specific program or project currently underway or in the planning stages from an AGD council or committee?
* Does it relate to any specific objective or strategy to be implemented during the current operational year?
* Have the staff resources needed been identified and cost-evaluated?
* Is a timeline established and realistic?
* Are outcomes specified and measurable?
* Will it conflict with a relationship or commitment that the AGD is currently involved with another group?
* Will members perceive a benefit and if so, what?
* Each council/committee must be asked what it perceives to be the potential for developing a relationship with the group or organization.

Questions to ask potential strategic alliance group partner:

* Does this project or program mesh with any similar one that your organization has currently in place or planned?
* What specifically would you be able to provide to assist in facilitating or implementing this project/program?
* Is there a program or project with which the AGD can assist your organization?
* These are areas that we believe we may be able to develop mutually beneficial relationships in:
  + Advocacy/legislative
  + Education—courses, informational materials
  + Member benefits—insurances, locate a dentist?
  + Annual meeting—attendance, booth space, exhibitors
  + Public Information—Info sheets
  + Technology—links
  + Dental care—insurance issues
  + Publications—articles contributed, section of interest, advertising

*(Note: show example of current relationships helping to achieve an objective +/or further a goal.)*

Flow sheet idea:

Goals/objectives for current year → Board

↓

Strategies on how to achieve goals/objectives → Councils

↓

Organizations/groups identified that can help achieve/implement strategies and how, along with timeline, measurable outcomes

↓

Formal contract or MOU with group/organization

↓

Communication and updates

↓

Evaluation by Board

**Monitoring:**  Annually in May, a written report for each alliance and coalition will:

1. Confirm that criteria stated above are being met;
2. Evaluate the relationship in terms of its overall value in support of AGD organizational goals; and
3. Recommend any changes in the requirements of the agreement or contract in order to continue the relationship.

***Policy Type: V.*** *Board Policy Statements*

**D. Awards**

**Awards Committee**

The Awards Committee will be responsible for the following aspects of the AGD Achievement Awards.\* The responsibilities include: review, add, or delete award categories; develop award criteria; select award nominees to be considered by the Board; approve marketing plan and other items as determined; and create a recognition plan for award recipients to include a formal presentation at the annual meeting.

*\*The Dental Education Council will continue to select the Weclew award winner*

*Committee Composition:*

The incoming AGD President will appoint the chair and members of the committee. The committee will report to the AGD Board. Committee to include:

Chair: AGD Past President

Members: Three AGD Past Presidents

Regional Director Chair

Staff Liaisons: Director, Governance; Governance Coordinator

**Albert Borish Award**

Dr. Albert L. Borish was a blind dentist and a faculty member at Temple University Dental School, and also was a leader of the AGD. He exhibited courage in the face of adversity, dedication to the advancement of the profession, and tenacity of purpose in carrying out goals and ideals. He was innovative in the promulgation of constructive programs and demonstrated selflessness. This award honors an individual who possesses those same characteristics.

*Award Eligibility for Albert Borish Award:*

* An individual committed to the dental profession who may be a member or non-member, dentist or non-dentist.

*Selection Criteria for the Albert Borish Award:*

* Exhibits courage in overcoming insurmountable odds (can include certain addictions, medical conditions, mental health, rehabilitation following a major trauma or injury, educational challenges, and either social or economic hardships).
* Exhibits a commitment to education.
* Displays dedication far beyond the average for the advancement of the dental profession.
* Demonstrates tenacity of purpose in carrying out goals and ideals.
* Innovative in the promulgation of constructive programs.
* Exhibits selflessness and possesses a deep interest in all phases of dentistry.

*Submission and Approval Process:*

* Nominations may only be submitted by an active AGD member in good standing in the organization.
* Individuals may be nominated by others outside his/her region.
* May not hold a current position on the AGD Board or Regional Directors.
* The award will not be given to the same individual more than once; therefore, past recipients are ineligible.
* A nominator is limited to one Borish Award nomination per year.
* A completed nomination form, letter of recommendation, along with a copy of the nominee’s curriculum vitae (CV), must be received at AGD Headquarters by the designated deadline.
* Other supporting documentation to substantiate the character of the nominee may also be submitted (testimonials, photos, newsletters, articles).
* It shall be the duty of the Awards Committee to act as the Screening Committee for all nominees.
* Staff will forward all nominations and supplemental materials to the Awards Committee for consideration.
* Each committee member will independently evaluate and select the individual nominee most deserving of the award.
* The committee will submit a list of nominees to the Board to share any concerns.
* After the list of nominees have been vetted by the Board, the committee shall select the final award recipients to be ratified by the Board.
* Typically, only one award is granted annually. However, if the caliber of nominees is particularly outstanding, two awards may be granted.
* Nominees not selected may be considered for the subsequent year.
* If any of the nominees do not meet the criteria, the Awards Committee has the option to forgo recommending a Borish Award recipient to the AGD Board.

*Award Presentation:*

* The recipient will be presented with the Borish Award during the Annual Meeting.

Distinguished Service Award

The Distinguished Service Award is presented to a council or committee member that has served in the AGD in an outstanding manner. The recipient will have gone beyond the call of duty assuring continuity and integrity in the operations of the AGD, as well as in the development of new programs and serves created to the meet the changing needs of the membership.

***Award Eligibility for the Distinguished Service Award:***

* Must be an AGD council, committee, or task force member in good standing.

***Selection Criteria for the Distinguished Service Award:***

* Has made a contribution that has advanced the work of the AGD on a national level in a measurable way resulting in the long-term enhancement of the goals/core purpose of the AGD
* Demonstrates exemplary dedication to the AGD.
* Shows innovation and leadership when making positive changes for the benefit of the membership, the AGD, and the dental profession.
* Contributions were made while serving AGD in an appointed *(not elected)* position.
* The nominee shall have contributed time and effort beyond that required by his or her fulfillment of a council/committee appointment.

***Submission and Approval Process:***

* Nominations may only be submitted by an AGD officer, trustee, regional director, past president, council, committee or task force member.
* Individuals may be nominated by others outside of his/her region.
* The nominee may not be a current member of the AGD Board or Regional Directors, nor be a candidate for office.
* The award will not be given to the same individual more than once; therefore, past recipients are ineligible.
* A nominator is limited to one Distinguished Service Award nomination per year.
* A completed nomination form, letter of recommendation, along with a copy of the nominee’s curriculum vitae (CV), must be received at AGD Headquarters by the designated deadline.
* Other supporting documentation to substantiate the character of the nominee may also be submitted (testimonials, photos, newsletters, articles).
* It shall be the duty of the Awards Committee to act as the Screening Committee for all nominees.
* Staff will forward all nominations and supplemental materials to the Awards Committee for consideration.
* Each committee member will independently evaluate and select the individual nominee most deserving of the award.
* The committee will submit a list of nominees to the Board to share any concerns.
* After the list of nominees have been vetted by the Board, the committee shall select the final award recipients to be ratified by the Board.
* Typically, only one award is granted annually. However, if the caliber of nominees is particularly outstanding, two awards may be granted.
* Nominees not selected may be considered for the subsequent year.
* If any of the nominees do not meet the criteria, the Awards Committee has the option to forgo recommending a Distinguished Service recipient to the AGD Board.

***Award Presentation:***

The recipient will be presented with the Distinguished Service Award during the Annual Meeting.

**Humanitarian Award**

The AGD Humanitarian Award is an award that is given on an annual basis to an individual dentist who demonstrates humanitarianism. This is determined by his or her contribution of voluntary service, in conjunction with a consistent commitment to enhance the image of general dentistry, through the continuous delivery of quality dental care and through consistent leadership in areas of civic involvement.

***Award Eligibility for the Humanitarian Award:***

* Must be an active member of the AGD in good standing.

***Selection Criteria******for the Humanitarian Award****:*

* A dentist who is an exemplary member of the dental profession and of his or her community.
* The nominee has foregone his or her own interests in order to serve the public.
* The humanitarian should: be compassionate, cause-driven, charitable, dedicated, unselfish, progressive, service-oriented, professional, dedicated to excellence, and should exhibit pride, accomplishment, and a sense of responsibility toward the well-being of mankind.

***Submission and Approval Process:***

* Nominations may only be submitted by an active AGD member in good standing in the organization.
* Individuals may be nominated by others outside of his/her region.
* The nominee may not be a current member of the AGD Board or Regional Directors, nor be a candidate for office.
* The award will not be given to the same individual more than once; therefore, past recipients are ineligible.
* A nominator is limited to one Humanitarian Award nomination per year.
* A completed nomination form, letter of recommendation, along with a copy of the nominee’s curriculum vitae (CV), must be received at AGD Headquarters by the designated deadline.
* Other supporting documentation to substantiate the character of the nominee may also be submitted (testimonials, photos, newsletters, articles).
* It shall be the duty of the Awards Committee to act as the Screening Committee for all nominees.
* Staff will forward all nominations and supplemental materials to the Awards Committee for consideration.
* Each committee member will independently evaluate and select the individual nominee most deserving of the award.
* The committee will submit a list of nominees to the Board to share any concerns.
* After the list of nominees have been vetted by the Board, the committee shall select the final award recipients to be ratified by the Board.
* Typically, only one award is granted annually. However, if the caliber of nominees is particularly outstanding, two awards may be granted.
* Nominees not selected may be considered for the subsequent year.
* If any of the nominees do not meet the criteria, the Awards Committee has the option to forgo recommending a Humanitarian Award recipient to the AGD Board.

***Award Presentation:***

* The recipient will be presented with the Humanitarian Award during the Annual Meeting.

**Mark S. Ritz Advocate for Dentistry Award**

Dr. Mark S. Ritz was well known and respected in organized dentistry for his advocacy efforts. He was also an AGD leader. This is an award given to individuals when deserved and appropriate. The individual must distinguish themselves with national level advocacy in an active, visible and successful manner, but not precluding state or local advocacy.

*Award Eligibility:*

* Awardees must be an AGD member.

*Nominations:*

* The Executive Committee, in consultation with appropriate executive staff, may select an award recipient.
* The award needs not be presented every year—only when deserved and appropriate. However, funds would be budgeted each year.
* The award would be presented by the AGD President to the award recipient at the first session of the HOD.

*Selection criteria for the Mark S. Ritz Advocate for Dentistry Award:*

* Awardees must distinguish themselves primarily with national level advocacy in an active, visible, and successful manner, but not precluding state or local advocacy.

**Awards Timeline*: (This is an example)***

Year round: Information on website about the four (4) awards, the person for whom the award is named, and list of past recipients.

June 29, 2007 2007 recipients listed in onsite program with their pictures and summaries of their achievements qualifying them for their particular award.

All recipients displayed on website.

Include 2008 award nomination information as a flyer in the annual meeting registration bag directing them to the website for nomination.

August 2007 *AGD Impact* annual meeting wrap-up issue to recognize 2007 recipients.

Call for nominations page for 2008 including description of each award.

September and Promotion of Call for Awards:

October, 2007 *AGD in Action*

*AGD Impact*

Online

*AGD Briefings*

Targeted e-mail to leaders and volunteers

December 1, 2007 Nominations submission deadline

December 15, 2007 Applications to Awards Committee for review

January 15, 2008 Awards Committee conference call to select recipients

Notify award winners via phone call and official letter

July 16 to 20, 2008 Presentation of award winners at annual meeting

**Honorary Memberships**

*Eligibility for Nomination*

An honorary member of the AGD is classified as a person of distinction who has rendered outstanding service to the dental profession.

Anyone who has exhibited all of the following characteristics is eligible to be nominated for this award:

1) Has provided outstanding service to the dental profession

2) Has exemplified a commitment to the profession of dentistry through his or her activity or has supported and promoted dentistry to the public

3) Has exemplified the vision, principles and goals of the AGD and has made exceptional efforts in promoting these ideals

*Mechanism for Nomination of Candidates*

1. Nominations must be received by the AGD Headquarters office before January 1 for consideration

at the meeting of the Membership Council at JCM.

1. All nominations should verify that the recommendation was, in fact, voted on and approved by the

constituent board.

1. All nominations are presented to the Membership Council for review. If approved, the

recommendation will be presented to the Board for vote at the appropriate Board Meeting.

**AGD Competition Awards**

Purpose: Those awards presented to the winners of a competition or contest, based upon established selection criteria, and approved by an AGD council or committee, and to be presented during the annual meeting.  The following awards fall into this category:

* + - * 1. Senior Student Award

1. Purpose
   1. This award has been established to recognize up to two senior dental students from each dental school in the United States, Canada, and Puerto Rico who exhibit potential for becoming outstanding general dentists.
2. Criteria of award
3. AGD’s constituents will administer the selection of the award winner in collaboration with their local dental school. When constituent assistance is not available, the school of dentistry, through the dean, faculty member, or faculty committee, should administer the final selection.
4. AGD student members in their senior year of dental school who have indicated a desire to practice general dentistry are eligible for this award.
5. The senior student shall have maintained an academic scholastic balance between his or her clinical and didactic basis courses of study.
6. The senior shall be considered in good academic standing with his or her graduating class.
7. The senior student shall have demonstrated outstanding attributes conducive to exceptional doctor-patient relationships (i.e., a pleasant, outgoing personality).
8. Benefit of awardees
   1. The award recipient will receive a complimentary one-year membership in the AGD.
   2. The AGD will provide the dean with a certificate to be presented to the award winner.

**AGD Universal Award Application (Constituent Awards)**

In an effort to simplify and standardize the award process for constituents, the Regional Directors and AGD councils and committees requested that AGD create a universal application that would apply to all awards. Regional Directors work with the chairs of the Communications, Dental Practice, Dental Education, Legislative and Governmental Affairs, and Membership Councils to review and continually improve this application. The universal award application streamlines the amount of paperwork needed and enables constituents to submit award documentation once. Constituent leaders receive the applications annually. They are asked to complete the necessary sections and provide documentation as requested by the deadline as determined for that year.

**Award Descriptions**

**Advocacy:**As the AGD solely represents the interests of the general dentist, it is vital that constituents are involved in this process as well. The activities listed on the application are some of the first steps constituents can take to become the voice of the general dentist. This award will not be given unless the council determines a constituent is truly deserving. Ties will be broken by counting the number of successful legislative/regulatory initiatives. Further ties will be broken by rating the successful initiative as matched to the council’s legislative/regulatory priorities. Please note points earned for the Advocacy Award will be determined by the Legislative and Governmental Affairs Council.

**ACE:**  The publishing/production design department keeps members informed through two print publications, *AGD Impact* and *General Dentistry,* as well as through online newsletters, such as *AGD in Action.* The Editors’ Program provides a forum for discourse among constituent editors, allowing them to trade useful information for constituent newsletters and information on ways to recruit, retain, and train new editors. This award recognizes excellence in newsletter publishing. Newsletters are evaluated by impartial judges who are not affiliated with the AGD. Please note points earned for the ACE award will be determined by the Communications Council.

**Richard D. Knowlton CE Award of Excellence:** The Richard D. Knowlton Continuing Education (CE) Award of Excellence recognizes exemplary continuing dental education programs throughout a state. It acknowledges constituents who have provided multiple CE opportunities throughout their state through direct training or through approved local program providers and have encouraged participation in the Fellowship and Mastership Awards programs. Please note points earned for this award will be determined by the Dental Education Council.

**Membership:**The membership department contributes to the growth and effectiveness of the AGD by continuing to improve our member service, building and maintaining a viable membership base, maintaining continuing dental education transcripts for members, and administering quality affinity programs for all member segments. This is accomplished by a combination of staff and volunteer efforts to energize and involve members in activities of the AGD, including the recruitment and retention of members. This award seeks to honor and reward constituents who have gone above and beyond the call of duty in their recruitment and retention efforts. Please note points earned for this award will be determined by the Membership Council.

**Public Information:** The publishing/production design department keeps members informed through two print publications, *AGD Impact* and *General Dentistry,* as well as through online newsletters, such as *AGD in Action.* The Editors’ Program provides a forum for discourse among constituent editors, allowing them to trade useful information for constituent newsletters and information on ways to recruit, retain, and train new editors. This award recognizes excellence in newsletter publishing. Please note impartial judges who are not affiliated with the AGD evaluate the newsletters and award points.

**Constituent of the Year:** The Constituent of the Year (COY) Award recognizes constituents who display strengths in every area of constituent activity representing; governance and administration, CE, communication, membership, and public information. Constituents seeking to earn the COY should complete all necessary sections of the UAA to be eligible. Please note points earned for the COY award will be determined by the Regional Directors.

Amended Board Zoom 6-29-21

***Policy Type: V.*** *Board Policy Statements*

**E. Board Meetings**

The President-Elect shall have the prerogative to determine where one meeting outside of Chicago will be held. If the costs of any of these meetings are in excess of $100,000 as per Policy Type IV., Executive Limitations, A. Annual Executive Constraint, 9, then Board approval will be required prior to entering into that said contract. All off-site meetings of the Board should include an “outreach” event with the local, constituent, or regional component where the meeting is held. Such event must fit with the cost parameters detailed above and cannot add to the length of the meeting.

Approved 2017-2018 Board Meeting III

HOD Policy 2009:103R-H-7

“Resolved that the Board policy be amended that non-voting observers will be recognized based on parliamentary procedure.”

That the following non-voting observers will be recognized based on parliamentary procedure:

* Regional Directors
* Council/committee chairs
* Any constituent officer

And be it further resolved, that HOD Policy 76:57:H-11 be interpreted to exclude the two official RD representatives at the Board meeting as well as any RD who is observing the meeting when his or her region’s trustee is absent.

Resolved, that at every AGD Board meeting, after the initial discussion of the meeting’s agenda, the presiding officer call for an executive session, if necessary, to update the AGD Board of items discussed by the AGD Executive Committee in all executive sessions that have taken place between and at Board meetings.

* Board Meeting Etiquette
  + Always come prepared to contribute to achieving what is best for AGD
  + Attack the problem, not the person
  + Contribute to the meeting goals
  + Listen with an open mind
  + Think before speaking on an agenda item or AIR
  + Stay on point, do not advocate your own agenda or grievances
  + Keep the meeting as efficient as possible
  + Respect the president or designated chairperson of the meeting

Approved Board Zoom 11-17-20

***Policy Type: V.*** *Board Policy Statements*

**F. Dues Stabilization Policy**

Dues Stabilization: The Board shall develop annual budgets and manage the AGD’s finances and reserves in accordance with the long-term financial strategy of dues stabilization. The dues stabilization strategy seeks to achieve long-term dues stability. Stable dues are viewed to be supportive of the organizational objective to increase membership market share.

A key element of the dues stabilization strategy is a strong reserve position. Growth in non-dues revenue is required to make the AGD less dependent upon dues revenue. The focus in generating non-dues revenues must be on the net margins generated from the revenues, rather than a focus on gross revenues. Flexibility is needed to develop annual budgets which provide member programs and services in support of the strategic plan while keeping required dues increases at or below an inflationary level.

Dues increases for all categories of membership except students will be based on the previous 12 months’ CPI as of the June of the year the budget is being compiled.

Dues for students will be reviewed every three years and be considered for no more than a 5% increase of the current student dues rate.

Approved Board Zoom 10-26-21

***Policy Type: V.*** *Board Policy Statements*

**G. PACE Fees Stabilization Policy**

The Board shall develop annual budgets and manage the AGD’s finances and reserves in accordance with the long-term financial strategy of AGD PACE application fees (PACE fees) stabilization. The PACE fees stabilization strategy seeks to achieve long-term stability by keeping annual application fees increases at approximately five percent. Additionally, PACE annual maintenance fees shall increase approximately 10% every three years beginning January 1, 2017. Stable fees are viewed to be supportive of the organizational objective to increase non-dues revenue.

A key element of the PACE fee stabilization strategy is a strong reserve position. Growth in non-dues revenue is required to make the AGD less dependent upon dues revenue. The focus in generating non-dues revenues must be on the net margins generated from the revenues, rather than a focus on gross revenues. Flexibility is needed to develop annual budgets which provide member programs and services in support of the strategic plan while keeping required dues increases at or below an inflationary level.”

***Policy Type: V.*** *Board Policy Statements*

## H. Investment Policy Statement

**Investment Policy Statement**

Academy of General Dentistry

**May 2021**

**Prepared by the**

**Academy of General Dentistry Investment Committee**

**John W. Portwood, Jr., DDS, MS, MSF, CFP, ChFC, CLU, MAGD, Chair**

**Bryan C. Edgar, DDS, MAGD**

**Michael W. Lew, DMD, MAGD**

**Donald A. Worm, Jr., DDS, MAGD, ABGD, Consultant, Treasurer**

**As amended and approved at the Board Zoom 8-27-22**

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**Investment Policy Discussion **

***What Is an Investment Policy Statement?***

An investment policy outlines and prescribes a prudent and acceptable investment philosophy and defines the investment management procedures and long-term goals for the Academy of General Dentistry (AGD).

***The Need for a Written Policy ***

The principal reason for developing a long-term investment policy and for putting it in writing is to protect the organization’s portfolio from *ad hoc* revisions of sound long-term policy. The written investment policy will help the organization maintain a long-term policy when short-term market movements may be distressing, and the policy is in doubt.

The development of an investment policy follows the basic approach underlying financial planning: assessing one’s financial condition, setting goals, developing a strategy to meet the goals, implementing the strategy, regularly reviewing the results and adjusting the strategy or the implementation as circumstances dictate. Using an investment policy encourages the organization to become more disciplined and systematic, thus improving the probability of achieving its investment goals and thereby meeting the financial needs of the organization.

***Steps to Take to Establish an Investment Policy ***

1. Assess the financial situation—identify goals and needs.
2. Determine the tolerance for risk and the time horizon.
3. Set long-term investment objectives.
4. Identify restrictions on the portfolio and its assets.
5. Determine the asset classes and appropriate mix (the “Asset Allocation”) to maximize the likelihood of achieving the investment objectives at the lowest level of risk.
6. Determine the investment methodology for investment (manager) selection, rebalancing, buy-sell disciplines, portfolio reviews and reporting, etc.
7. Implement the decisions.
8. Evaluate performance on a regular basis.

***Investment Committee Appointment ***

The Investment Committee’s role in this relationship is that of consultant to the AGD. The Board has delegated decision-making on investments to the Committee as defined in this IPS. The Committee will operate under the auspices of the Board.

The Investment Committee shall meet face-to-face, at a minimum, twice annually, with other meetings by conference call or electronic means to review investments as to their applicability to the plan. If the Investment Committee feels that another face-to-face meeting is necessary, it will be at the most economical site considering travel and lodging expenses. The Executive Director or the Board must approve additional meetings and conference calls if they are necessary.

***Investment Committee Charge***

The Investment Committee charge is listed within the Board Policy Manal, Policy Type: II. Governance Process, M. Charges of Council and Committees.

There may also be an Investment Advisory Group consisting of an unlimited number of people who shall serve in an advisory function to the Investment Committee as needed. These members are non-voting and do not mandatorily attend the Investment Committee meetings. They may, however, be allowed to attend the investment committee meetings with approval of the Chair and under the condition that they are not reimbursed by the AGD for attending the meeting. The purpose of this group is to develop future members of the Investment Committee.

The Investment Committee shall, through its Chair, also have the ability to invite other potential members, or advisors, to its meetings. If the funds are not in the budget, then approval of these funds by the Executive Director, or the Board, must be obtained. Although these attendees will not have voting privileges, they, through discretion of the Chair, can contribute to the deliberations.

The Investment Committee may occasionally need to consult with specialists in a particular area of investing. These meetings can occur by phone, meeting at the specialist’s site, or at the Investment Committee’s meetings. These meetings must be budgeted for and pre-approved by the Executive Director or the Board.

**Introduction **

The purpose of this Investment Policy Statement (IPS) is to establish a clear understanding between the AGD**,** the Board, and the Investment Committeeas to the investment goals, objectives, and management policies applicable to the AGD’s investments (defined later). This IPS will:

* Establish reasonable expectations, objectives, and guidelines in the investments.
* Create the framework for an asset mix to generate acceptable long-term returns at a level of risk suitable to the organization to include:
* A description of an appropriate risk posture for the investment of the organization’s Investment Fund.
* The establishment of target ranges of the asset allocation policy.
* Establish investment guidelines for selecting investment managers, permissible securities, and diversification of assets.
* Specify criteria for evaluating asset performance.
* Define the responsibilities of the Board, and the Investment Committee.
* Encourage effective communication between the investment manager(s) and the Board.

This IPS is not a binding contract. The Board uses it at its own discretion. This IPS is intended to be a summary of an investment philosophy and the procedures that provide guidance for the Board. The investment policies described in this IPS should be dynamic. These policies should reflect the AGD’s current status and philosophy regarding its investments. These policies will be reviewed and revised periodically to ensure that they adequately reflect any changes related to the investments, the AGD, or the capital markets.

It is understood there can be no guarantee about the attainment of the investment goals or objectives outlined herein. The Board requested that the attorney research the liability of the Investment Committee, the Executive Director, and the Board in making investment decisions. The attorney concluded that they were clearly included and covered in the Bylaws under the Indemnification Chapter XVIII.

***Key Contacts for the IPS ***

John W. Portwood, Jr., DDS, MS, MSF, CFP, ChFC, CLU, MAGD of Baton Rouge, LA

Investment Committee Chair

Executive Director

**Overview Commentary **

***Long-Term* Investment *Objectives for the AGD***

The long-term investment objectives of the AGD will be served by the Investment Fund. The Investment Fund will consist of the following accounts:

* Reserve Account: This account will provide a safety net for the operation of the organization and will be maintained at a minimum of 55% of budgeted expenditures for the current fiscal year.
* Building Account: This account will provide for capital expenditures related to improvements of the building and will be maintained with a balance of up to $1,500,000.
* Competitive Advantage Account (CAA) will provide funding for AGD-wide initiatives that are not currently budgeted in the annual operating budget. The CAA will have a balance cap of $3 million.

***Guiding Principles for Assets as Established by this IPS***

**Operations Account:** This fund will maintain an amount deemed to be essential to meet the ongoing operational needs of the AGD. While the Operations Account is not part of the Investment Fund as per AGD Bylaws, Chapter XVII, Section 2, it is included in the IPS for clarity of the overall finances of the Academy. These funds are under the purview of the Executive Director and will be invested in cash and cash equivalents. Allocations of surpluses, if present from operations at the close of the fiscal year and following completion of the audit, is delineated in the Distributions section below. If the end of the fiscal year results in a deficit that cannot be covered, it shall be corrected using funds as designated in sections a)ii and a)iii below.

**Investment Fund:**

The primary function of this fund is to provide financial stability for the organization and allow achievement of long-term objectives. This will require funds to be dedicated for the stipulated investment time horizon and maintained at levels as prescribed by the Board. Any removal of funds prematurely will compromise accomplishment of the stated objectives. However, it is recognized that circumstances may occur that exceed the funds available for normal operations, and Investment Fund accounts can be accessed to ensure continued operation of the AGD. Access and use of the funds are stipulated in the following sections. Access to any accounts within the Investment Fund will require the Treasurer’s and President’s signatures following the required approvals by the Board.

The Investment Fund shall consist of three accounts, each of which shall retain its own characteristics, principal, and returns:

1. **Reserve Account.**

i. The reserve account is designed to protect the organization from unforeseen occurrences that could cause financial hardships. It is to serve as an account of last resort. This account is designed to maintain a reserve of a minimum of 55% and a maximum of 100% of budgeted operational expenditures for the current fiscal year. For example, for the year 2022, the budgeted operational expenditures would be based on the budget adopted by the House of Delegates at the 2021 Annual Meeting for 2022.

* + 1. An Emergency Fund is established by the Constitution and Bylaws Chapter XVII Section 4. While this fund does not fall under the purview of the IPS, it is included here for clarification of the process when financial shortfall situations occurs. This fund is an operations account. In the event that a financial crisis has caused the operations account to fall below acceptable levels, the Emergency Fund shall be utilized to cover for any shortfalls in finances before any funds are requested from the Reserve Account. Access to the Emergency Account will require both the Treasurer’s and President’s signatures.
    2. If the Emergency Fund has been depleted and additional shortfalls needs to be covered, funds would then be requested from the Reserve Account. Access to funds from the Reserve Account must have ¾ approval vote of the voting members of the Board. In the event this reduces the Reserve Account below the 55% threshold of the Operating Account, the Reserve Account shall be replenished back to 55% threshold as soon as possible, but no later than 3 years from the date the funds were withdrawn.
    3. Once that 55% threshold for the Reserve Account has been achieved, the Emergency Fund will then need to be replenished before the end of the FY.
    4. If the balance in the Reserve Account falls below 55% of budgeted operational expenditures for the current fiscal year, any and all distributions from the Reserve Account will be suspended. Any operating surplus will be directed to replenish the Reserve Account to minimum 55% of the operating budget for the following fiscal year.
    5. The balance in the Reserve Account, while designed to not be higher than 100% of budgeted operational expenditures, can go above 100% if the scheduled transfers out of the Reserve Account are suspended, or if the stock market performance and activities of the Investment Committee have resulted in the balance exceeding that 100% target

1. **Competitive Advantage Account (CAA)**:

i. This account is designated to fund AGD-wide initiatives.

ii. A CAA request can be made regardless of amount requested. However, a Business Plan will be required if requested amount of CAA funding is for $50,000 or more.

iii. Regardless of amount requested, a CAA request must be for:

o A new program or the expansion of an existing program

o Must be self-sustainable or supported by the AGD operations budget after no more than 24 months after the funds are first dispersed from the CAA account for the program

iv. The Business Plan template has been included as an addendum to the Action Item Report.

v. If no Business Plan is required, a CAA request can still be made by submitting an AIR to the Board. All requirements for obtaining CAA funding must be complied with exception of the submission of a Business Plan.

vi. Any request for CAA funding must be provided to the Investment Committee at least four weeks prior to the deadline outlined in Policy Type: II. Governance Process, P. Board Processes.

vii. Documented review by the Budget and Finance Committee and the Investment Committee must be included in the AIR.

viii. Approval to utilize Competitive Advantage Account (CAA) must by given by a super-majority (60%) vote of the voting members of the Board.

ix. This account will be funded by Reserve distributions as described in the Reserve Account definition above and will be capped at $3 million.

c) **Building Account**:

1. This account is designated to fund capital expenditures related to improvement of the building. If funding is needed for capital improvements, then the request will go to the Investment Committee for initial review and approval. Final approval is then given by simple majority vote of the voting members of the Board.
2. This account shall be moderate in risk.

**Distributions:** Distributions shall be made within the Investment Fund Accounts and Operating Account to ensure the Reserve Account maintains a at least a minimum 55% or maximum 100% of the Operating Budget, the CAA has a its maximum $3 million, and the Building Account has its maximum $1.5 million. When all three Investment Fund Accounts have met or exceed their cap, excess funds will be transferred into Operations. Distributions shall be made in the following order after completion of the audited financial report for the most recently completed fiscal year:

1. If the balance of the Reserve Account is less than 55% of the Operating Budget, any surplus in the Operating Budget at the end of the FY will be transferred to the Reserve Account to bring it to the minimum 55%.
2. An annual distribution of 2.5% based on the ending balance of the most recently concluded fiscal year, known as the Investment Fund Dividend, shall be allocated from the Reserve Account to the Competitive Advantage Account (CAA). Any residuals funds after the CAA is at or exceed its $3 million cap shall be transferred to the Building Account. If the Building Account is at its or exceed its $1.5 million cap, the residual funds will be returned to the Reserve Account. If the Reserve Account is at 100% of the budgeted operational expenditures for the current fiscal year, the excess will be moved into the Operations Account.
3. If the balance in the Reserve Account, after the distribution of the Investment Fund Dividend exceeds 100% of the budgeted operational expenditures for the current fiscal year, the excess will be moved into the Competitive Advantage Account. If the CAA is already at or exceeds its $3 million cap, the excess funds will be moved into the Building Account, If the Building Account is at or exceeds its $1.5 million cap, then the funds will be transferred to the Operating Budget.
4. If the balance of the CAA is over the $3M cap, that overage will be transferred into Building Account. If the Building Account is at its or exceeds its $1.5 million cap, the residual funds will be returned to the Reserve Account. If the Reserve Account is at 100% if the budgeted operational expenditures for the current fiscal year, the excess will be moved into the Operations Account.
5. When there is a surplus of operating income from the previous fiscal year, 50% of this excess will be transferred into the Building Account. If the Building Account is at or exceeds its $1.5 million cap, the residual funds will be returned to the Reserve Account. If the Reserve Account is at 100% of the budgeted operational expenditures for the current fiscal year, the excess will be moved into the Operations Account.

**Advocacy Fund:** This fund shall be funded through contributions made for its specific use. It will not fall under the auspices of the Investment Committee to monitor this account, nor to invest the funds. These funds will be kept separate from the general operating account for the uses for which they are intended.

***Investment Fund Approvals ***

Authorized Decision Maker **Board**

Investment Advisor **Investment Committee**

**Investment Objectives **

The specific investment objectives for the Reserve Account assets shall be to achieve a maximum return while maintaining diversification for safety. The assets in this account shall be designed to achieve an average annual rate of return of 5.0%. For those assets in the Building Account, the desired annual rate of return will be 6.0%. For those assets in the Competitive Advantage Account (CAA) the funds should be kept in a combination of broad market stock index fund, a fixed income fund and cash as determined by the Investment Committee. The objectives of these funds differ from each other due to the different risk levels accepted for these accounts.

**Time Horizon **

Capital values do fluctuate over short~~er~~ periods and the Board should recognize that the possibility of capital loss does exist. However, historical asset class return data suggests that the risk of principal loss over a holding period of at least three to five years can be minimized with the long-term investment mix and style employed under this IPS.

**Tax Policy **

Taxes can affect the investment policy in several ways:

* The determination of the appropriate investment vehicles for a portfolio, either taxable or tax-free, and/or income producing or growth through capital appreciation.
* The selection of either an active or passive strategy to be employed by the money manager for a particular asset class. There is currently an ongoing debate in the financial world as to the pros and cons of active versus passive management. It is not our intention to add to this debate, but to identify that this is an issue that must be addressed in the IPS.

The AGD is exempt from taxes since it is a non-profit organization. Therefore, there will be no further discussion of the tax policy.

**Risk Tolerance **

Investment theory and historical capital market return data suggest that over the long term there is a direct relationship between risk (e.g. volatility of return) and return.

Value investing requires researching and evaluating securities that are, for a correctable reason, below their true value. Although, in an ideal world, the Investment Committee would purchase these securities at their lowest value, this is not an exact science and sometimes a security’s price may decrease further. The security was purchased at a discount and is a good value – it just isn’t at its lowest price. This may transpire over a variable period of time and is a possible consequence of the process.

The Investment Committee uses a combination of individual securities and professionally managed securities, for their long-term investments. Mutual funds, REITs and ETFs are used since they are professionally managed, are diversified, and have low costs. Risk for the long-term investments shall be measured by the Beta of the funds, standard deviation of the individual stocks, and duration of individual bonds.

**Asset Class Selection **

The Investment Committee will select its investment assets by using the following criteria:

1. Adequate diversification
2. Conservative selections
3. Flexibility in the decision-making process
4. Low cost
5. Ease of implementation and continuity
6. Ease of understanding
7. Acceptable liquidity

Academic research supports allocating total assets among various asset classes, which will outweigh individual security selection and other decisions that impact portfolio performance. Although the Investment Committee believes in asset allocation for diversification needs, it also recognizes that there are times the Investment Committee needs to be flexible in its decision-making process as “windows of opportunity” become available. The Investment Committee needs to be positioned to take advantage of these opportunities. Therefore, allocation models will be expressed in ranges, rather than absolutes.

The Investment Committee has chosen, and the Board has agreed to incorporate a value-driven model in its investment philosophy and will primarily use this technique in choosing individual securities. This technique is designed to produce superior results over extended periods. Specific details of this technique will be explained further in this document.

If appropriate, the Investment Committee may utilize a passive, instead of active, strategy using dollar-cost averaging techniques. Research indicates that this approach can also achieve the AGD’s objectives while returning above-average earnings over the long-term. Although the Investment Committee recognizes the benefits of passive investing and utilizes the technique for a percentage of its portfolio, it does not presently use this approach for the entire portfolio.

At present, the Investment Committee utilizes a core and satellite philosophy, combining both a passive component (core), as well as an active component (satellites) to achieve an excess return above that of an average passive portfolio.

The Investment Committee recognizes the need for international investment approximately 50% of global assets are in other countries. Because these assets may not move in the same direction as domestic assets, they can increase return while lowering overall risk. Mutual funds, REITs, and ETFs shall be used primarily for this category, but in the event of a compelling opportunity, an individual security may be selected.

The need for flexibility in this IPS is evident in bond investments. As rates rise, the value of bonds normally decreases. TIPS (Treasury inflation protected securities) can protect against these interest rate changes to some degree. The Investment Committee recommends that the AGD refrain from long-term bonds until the rate of these bonds exceeds 6.0% and/or interest rates are anticipated to significantly decline. Short-term and intermediate-term bonds can be used when needed for return or for diversification needs. Although mutual funds are professionally managed, the expense ratio for bond funds makes them impractical for use as the annual fee structure diminishes the return significantly. Individual securities or ETFs are therefore the preferred vehicles for these securities.

Real estate investment shall be entered into only on a case-by-case basis at the appropriate time when significant value exists. In the case of real estate, mutual funds or REITs are the preferred vehicles.

The Investment Committee requires unanimous, or a ¾ majority vote if fourth voting members is present, approval to recommend purchasing or selling any individual security or mutual fund. However, if a member is unavailable by phone or e-mail for three days, the other members will be permitted to make investments decisions in the member’s absence. If the member in question has given specific written instructions to the Investment Committee Chairperson, or the Executive Director, as to his or her intentions, these instructions shall stand as their recommendation on the issue.

Should the Executive Director discover a deviation from this stated investment policy, they shall contact the Investment Committee Chairperson for clarification. If the issue remains unresolved, the Executive Director is directed to contact the Treasurer regarding the deviation. The Treasurer, with Board approval, may direct the Executive Director to correct any deviation from this stated policy.

***Asset Categories and Ranges***

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| --- | --- | --- | --- |
| **Asset Category** | **Holdings** | **Percentage Range** | **Total** |
| **Cash** |  |  | **0-100%** |
| **Bonds** |  |  | **0-70%** |
|  | **Treasury** | **0-70%** |  |
|  | **Corporate** | **0-70%** |  |
|  | **Government Agency** | **0-70%** |  |
| **Stocks** |  |  | **0-90%** |
|  | **Large-Cap** | **0-90%** |  |
|  | **Mid-Cap** | **0-90%** |  |
|  | **Small-Cap** | **0-90%** |  |
|  | **International** | **0-25%** |  |
| **Alternative** |  |  | **0-10%** |
|  | **REIT** | **0-10%** |  |

The initial purchase of any individual security may not exceed 6% of the total value of an Account. If at a future date the value of the security is greater than or equal to 6% of the value of the Account, further purchases of that security will not be allowed. The value of the position may exceed 6% as the result of appreciation in the market value of the security. The value of an individual security can also be restored to 6% if it decreases below the 6% limitation.

The purchase of a mutual fund or ETF may not exceed 15% of the total value of an Account. If at a future date the value of the security is greater than or equal to 15% of the value of the Account, further purchases of that security will not be allowed. The value of the position may exceed 15% as the result of appreciation in the market value of the security. The value of a mutual fundor ETF can also be restored to 15% if it decreases below the 15% limitation.

Occasionally, a company offers its shareholders of record a Rights Offering, which is an opportunity to buy additional shares at a prescribed share value. Recognizing that these offerings often benefit the shareholder, the Investment Committee should recommend whether to exercise the Rights Offerings if it is advantageous to the AGD, even if it goes above 15%.

***Assumptions Used to Calculate Expected Returns***

***Based on Historical Assumptions***

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| --- | --- | --- | --- | --- | --- |
| **Asset Class** | | **Expected Return** | | **Standard Deviation** | |
| **Cash Equivalents** | | 3.6% | | 3.4% | |
| **Bonds** | | 5.5% | | 9.5% | |
| **Stocks** | | 11.0% | | 26.5% | |
| **Real Estate** | | 8.0% | | 16.2% | |

Assumed rates of return for various asset classes and correlations between various asset prices are used in asset allocation plans. The rates of return and price correlations are typically based on historical data. However, the historical data on price correlation coefficients is anything but stable with stock and bond prices not necessarily correlated. Moreover, future price correlations (between asset classes) may not be predictable.

***Updated Allocations ***

Periodically, it may be desirable to amend the basic allocation policy or calculations.

***Rebalancing Procedures ***

Periodically, market conditions may cause the investments in various asset classes to vary from the established allocation. To remain consistent with the target allocation guidelines established by this IPS, the Investment Committee should review the Investment Fund annually and rebalance the portfolio accordingly.

***Adjustment in the Targeted Asset Allocation ***

Adjustments to the targeted asset allocation are at the discretion of the Investment Committee with approval from the Board.

**Frequency of Review **

The Investment Committee will review and reallocate the investments annually as necessary.

The Board recognizes that investments go through cycles with times when the investment objectives are not met or when specific managers fail to meet their targets. Recognizing that no manager is perfect all the time and that good years help to make up for bad ones, the Board acknowledges that managers should be given an opportunity to make up for poor periods. Unless there are extenuating circumstances, patience is appropriate when performance has been disappointing but the investment is still sound.

On an overall portfolio basis, the AGD establishes a goal of achieving the stated investment return objectives over a 5 yearperiod of time. A shorter time frame would contradict the policy to overcome poor performance with subsequent excellent performance.

**Liquidity **

For the sake of liquidity, 10% of the CAA and the Building Fund will be held in cash or cash equivalents unless market conditions, or compelling investments dictate otherwise.

**Marketability of Assets **

Although the Investment Fund has a long-term investment horizon, none **(**0%) of its assets are required be invested in illiquid investments.

**Diversification **

Investment of the AGD’s funds is limited to the following categories:

***Permitted Security Types***

1. Open End Funds
2. Stocks – both domestic and international.
3. Bonds
4. - both domestic and international (investment grade only)
5. - both Treasury and Corporate (investment grade only)
6. Government agency securities
7. Money Market
8. Real Estate Investment Trusts (REIT’s)
9. Exchange Traded Funds (ETF’s)
10. Insured bank certificates of deposits
11. Master Limited Partnerships
12. Treasury securities
13. Corporate bonds – AAA, AA, or A grade (Standard & Poor)

Aaa, Aa, or A grade (Moody’s)

1. Federal agency securities
2. Interest bearing Money Market Accounts
3. Exchange-traded individual securities (other than those prohibited)
4. Commodities within ETF’s, mutual funds, or individual securities
5. Precious metals within ETF’s, mutual funds, or individual securities
6. Options utilizing covered calls and protective puts used in conjunction with portfolio positions and may only represent a maximum of five percent (5%) of the total value of invested equities



***Prohibited Asset Classes and/or Security Types***

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1. Annuities
2. Precious metals in their tangible form
3. Distressed securities
4. Venture capital
5. Private Placement Limited Partnerships
6. Short sales of equity positions
7. Purchases of Letter Stock, Private Placements, or direct payments
8. Leveraged transactions
9. Futures and commodities transactions involving leverage or direct possession
10. Purchases of real estate as an investment, with the exception of REIT’s
11. Closed-End Funds
12. Any other options strategies are not allowed except those in Permitted Security Types above.
13. Cryptocurrencies

**Selection/Retention Criteria for Investments **

***Mutual Fund Investment Management Selection ***

Mutual fund investment managers shall be selected using the following criteria:

1. Past performance relative to other investments with the same investment objective. Consideration shall be given to both performance rankings and consistency of performance

2. Costs relative to other funds with similar objectives and investment styles

3. Portfolio turnover

4. Size of the proposed mutual fund

5. Time the fund has been in existence and under the direction of the current manager(s)

6. Material changes in the manager’s organization and personnel

7. Historical volatility and downside risk of proposed investment

8. How the investment complements other assets in the portfolio

9. Current economic environment

10. Likelihood of future investment success, relative to other opportunities

***Individual Investment Management Selection***

Individual investment managers should be selected using the following criteria:

1. Experience with investments for a minimum of 5 (five) years

2. Prior investment results

3. Area of expertise with investments, preferably in non-profit organizations

4. Affiliation – e.g., larger firms provide more comprehensive research, while smaller firms typically provide more personal attention

5. Costs relative to other managers

6. Compatibility with the Investment Committee

7. Reputation

***Cash Equivalent Vehicles ***

Cash equivalent investments may be pooled investment vehicles, such as money market funds, where the fund’s share price is intended to remain constant and the fund’s yield is comparable with the current risk-free rate of return. Also permitted in this category are U.S. agency-guaranteed bank certificates of deposit (purchased directly from banks or indirectly through brokerage accounts) and short-term U.S. government securities.

The following are guidelines for selecting and retaining any pooled investment vehicles serving as a cash equivalent investment. While these guidelines are not absolute, the Investment Committee will consider these prior to the purchase and retention of a cash equivalent fund:

1. The fund will have an investment track record of no less than three years.
2. The funds’ average annualized yield, net of fund level expenses, over a three-year period will be no less than 0.5% below that of the average of all other funds sharing a similar investment objective for an equivalent period.
3. If funds are maintained in a Money Market Account, the Executive Director shall have check writing withdrawal capabilities in order to move assets as recommended by the Investment Committee.
4. Individual investments in Certificates of Deposits may also be utilized. These investments must be insured adequately to protect the amount invested.

The Investment Committee will review the performance of each cash equivalent vehicle quarterly. The investment vehicle’s total returns will be compared with the average returns for all other cash equivalent funds with a similar investment objective for the previous one, three and five-year periods.

If a selected fund under performs the returns established by such averages by more than 0.5% for the prior three-year period, such fund(s) will be placed on probation for the subsequent three months. If over the subsequent quarter the fund’s average annual return remains 0.5% below that earned by the applicable average, the Investment Committee will decide if the fund continues to be an appropriate investment.

Cash in this policy is viewed as a holding vehicle until an appropriate investment presents itself. A minimum of 10% of portfolio value will be maintained in cash/cash equivalents at all times to provide liquidity in the CAA and Building Fund unless market conditions or compelling investments dictate otherwise.

***Common Stocks***

***Mutual Funds ***

Any selected common stock mutual funds shall be pooled investment vehicles, such as a publicly traded open-end mutual fund, providing daily asset valuations or price quotations. Such investments may include any size domestic or non-U.S. stock.

The following guidelines will be utilized for the selection and retention of any pooled common stock investment vehicles. While these guidelines are not absolute, the Investment Committee will consider these prior to the purchase and retention of any mutual fund:

1. Have an investment track record of no less than five years.
2. Investment management must have been present for the past three years unless the fund is under team management. If team management is present, then there must be stability in the group.
3. No 12b-1 expenses.
4. Average annualized returns net of fund level expenses, over a three year time period or more, will be no less than the average returns for equivalent pooled investment vehicles sharing the same investment objective.
5. No load greater than 3% with preference given to no-load funds.
6. Investment risk as measured by a Beta of no more than 1.00.
7. Operating expenses shall not exceed 1.2% annually on domestic funds and 1.5% annually on international funds.
8. Have corresponding money market funds to which equity positions can be changed rapidly to cash positions in case one of the triggering mechanisms is activated.

The Investment Committee will review the performance of each common stock fund quarterly. Total returns will be compared against the average returns for equivalent pooled investment vehicles sharing the same investment objectives for the previous one, three, and five-year periods.

If any fund under performs the applicable averages for a period of one year, the selection fund will be placed on probation for the subsequent quarter. If over the subsequent year the funds’ average return for the applicable three-year period remains below that earned by the average equivalent pooled investment vehicle sharing the same investment objective, the Investment Committee will decide if the fund continues to be an appropriate investment.

The relative risk of the fund will also be reviewed quarterly, as measured by the fund’s Beta, over the most recent one, three, and five-year periods.

***Individual Securities***

Our AGD investment policy involves the purchase securities when their price appears to be well below the appraised or analyzed value. This usually results in the purchase of out of favor companies or a so-called “value” investing.

Successful value investing often requires patience and periods of inactivity. It also requires changing investments at times when others say to the contrary. The Investment Committee’s decisions will be considered sound when the investment is thoroughly analyzed in regards to valuations

The default position will be cash or the equivalent if there are no compelling equity or debt securities.

The guidelines provided below are to be used in evaluating individual equities. While these rules are not set in stone, the Investment Committee will consider these prior to the purchase of an individual security:

1. A company in business for at least twenty years and publicly traded for at least the last ten years.
2. A company whose business model is completely understood.
3. A company whose business is expected to continue for the next twenty years.
4. A company operating at a profit.
5. A purchase price at or near a multi-year low with a price to earnings ratio that is at or near a 5 to 10 year low.
6. A price to sales ratio less than 70%, preferably below 50% and can be averaged down if it falls to an extreme 30%.
7. A price to book (assets less liabilities, less preferred stock) ratio of less than two and preferably near one or less.
8. The price of the stock not more than 2/3 of net current assets per share (current assets less total debt, less the value of preferred shares, divided by the number of common shares).
9. Companies with capable management and personal ownership of stock.
10. Companies fitting the above criteria are often out of favor for a particular reason. The Investment Committee must determine if they understand the reason and can comfortably project that the company is in a temporary set-back or in a situation that is a one-time event and unlikely to significantly impact ongoing operations. These can often be wonderful investing opportunities if purchased with a backstop of value.
11. Companies with assets carried on the balance sheet below their actual worth, such as real estate, natural resources, surplus funds in a pension plan, or profitable subsidiaries, which, if sold separately, would bring a premium price.
12. The company’s current net profit should be an additional 33% more than the net profit of the company ten years ago.
13. The company possesses little or no debt. The long-term debt should be less than two years of net profit.
14. Total Debt (current and long-term) shall not exceed 60% of current assets.
15. A Price to Earnings Growth (PEG) ratio between 0.2 and 1.0. This shows a company that has started growing.

***Exchange Traded Funds ***

Any selected exchange traded fund (ETF) shall be an investment vehicle providing daily price quotations. Such investments may include focus on any size domestic, or non-U.S., stock. ETFs are designed to match an underlying index upon which the ETF is based.

These investments have similarities to mutual funds, yet have many features similar to an individual security. They are based on a basket of stocks like a mutual fund, but can be sold in intraday trading and can be short sold like individual securities. Since ETFs are based upon indexes, costs rival and are usually lower than those of mutual funds. Although mutual fund managers make judgments about individual stocks, ETF managers aspire to keep the fund as close to the underlying index as possible, therefore, rarely are there large concentrations of a particular security.

The following guidelines will be utilized for the selection and retention of any ETF. While these guidelines are not absolute, the committee will consider these prior to the purchase and retention of any ETF:

1. The fund will have an investment track record of no less than three years.
2. Investment management must have been present for the past three years unless the fund is under team management or run passively. If team management is present, then there must be stability in the group.
3. The fund’s average annualized returns net of fund level expenses, over a three year time period or more, will be no less than the average returns for equivalent pooled investment vehicles sharing the same investment objective.
4. A turnover portfolio ratio of less than 50%.
5. The fund will be treated as a diversified portfolio. Therefore, the investment risk will be measured by the fund’s Beta of preferably no more than 1.00.
6. Fund operating expenses shall not exceed 0.60% annually.
7. A Dividend Yield of greater than 2.00%.
8. A Price/Earnings ratio of less than 10, or near a five year low.
9. A Price/Book ratio of less than 2.00.
10. A Price/Sales ratio of less than 0.70.
11. A Price/Cash Flow ratio of less than 6.00.
12. The Investment Committee will review the performance of each ETF on a quarterly basis. Each fund’s total returns will be compared against the average returns for the appropriate index for the previous one-, three-, and five-year periods.

In the event any selected fund underperforms the applicable averages for a period of one year, the selected fund will be placed on probation for the subsequent quarter. If over the subsequent quarter the fund’s average return for the applicable one-year period remains below that earned by the appropriate index, the Investment Committee will make a determination as to whether the fund continues to be a prudent and appropriate investment.

The relative risk of the selected investment vehicle will also be reviewed on a quarterly basis, as measured by the fund’s Beta, over the most recent one-, three-, and five-year periods.

***Bonds and Other Fixed Income Vehicles***

***Mutual Funds ***

Selected diversified bond funds shall be pooled investment vehicles, such as a publicly traded mutual fund, providing net asset valuations published on a daily basis.

The guidelines provided below are used in evaluating mutual funds. While these guidelines are not absolute, the Investment Committee will consider the following prior to the purchase and retention of any mutual fund:

1. Investment track record of no less than three years.
2. Average annualized returns net of fund level expenses, over a three year time period or more, will be no less than the average returns for equivalent pooled investment vehicles sharing the same investment objective.
3. Incur investment risk no greater than that incurred by publicly traded funds with the same investment objective, as measured by the fund’s standard deviation.
4. Invest in no fewer than twenty income producing securities representing at least twenty corporate issuers or a comparable number of securities backed by the full faith and credit of the U.S. government or one of its agencies or a combination thereof.
5. Have corresponding money market funds to which equity positions can be changed rapidly to cash positions in case one of the triggering mechanisms is activated.

The Investment Committee will review the performance of each fund annually. Each fund’s total returns will be compared against the average returns for equivalent pooled investment vehicles sharing the same investment objectives for the previous one, three, and five-year periods.

Should any fund underperform the applicable averages for a period of two years, the selection fund will be placed on probation for the subsequent year. If over the subsequent year the funds’ average return for the applicable three-year period remains below that earned by the average equivalent pooled investment vehicle sharing the same investment objective, the Investment Committee will decide if the fund continues to be an appropriate investment.

The relative risk of the selected investment vehicle will also be reviewed quarterly, as measured by the fund’s standard deviation, over the most recent one, three, and five-year periods.

***Individual Securities***

The guidelines provided below are to be utilized in evaluating individual securities. While these guidelines are not absolute, the Investment Committee will consider these prior to the purchase and retention of an individual security:

1. The bond must be of investment grade or better AAA, AA, or A grade (Standard & Poor) or Aaa, Aa, or A grade (Moody’s).
2. Term of 10 years or less on both treasuries and corporate securities.
3. Call risk on corporate securities should be mitigated by purchasing bonds with call protection for a number of years or with a coupon lower than current market rates, thereby selling at a discount to par. The larger the discount, the lower the call risk.
4. To eliminate event risk, purchase Treasury or government securities.
5. To mitigate event risk in Corporate securities purchase only securities in corporations unlikely to be taken over by another corporation. Avoid undervalued companies with strong balance sheets because they are especially vulnerable to event risk.

***Government Agency Securities***

Agency securities come in several forms: short-term notes sold at a discount and interest-bearing notes and bonds. Like Treasury securities, agency securities are issued under the authority of an act of Congress. Therefore, they are exempt from registration with the Securities and Exchange Commission (SEC). Typically these agency issues are backed by collateral in the form of cash, U.S. government securities, and the debt obligations that the issuing agency has acquired through its lending activities. Several agency issues are backed by the full faith and credit of the U.S. Finally, there are agency securities with no direct or indirect federal backing; however, due to the semiofficial status, these agencies offer considerable assurance to the AGD that the government would not permit default.

Those agency securities allowed under this policy statement are:

* + - 1. Federal Home Loan Banks
      2. Federal National Mortgage Association
      3. Government National Mortgage Association
      4. Federal Home Loan Mortgage Corporation
      5. Farm Credit Agencies
      6. Federal Land Banks

The least expensive and best way to buy short-term issues is through a syndicated brokerage. The syndicate handling a new agency issue sells these securities at par and with no commission. The syndicate makes its profit when it sells the security (roughly $3 per $1,000 of face value). These issues are usually pre-sold so if the Investment Committee buys these securities as new issues, it will need to get its subscription in before the pricing announcement is made. Determining the coupon can be made by consulting the selling dealer. Their informed guess will be quite close to the mark.

These securities are also purchased and sold on the secondary market, but a commission is charged on each transaction. Therefore, unless there is a compelling reason to purchase on the secondary market (e.g., a desired maturity, a deep discount, etc.) buying at initial issue is preferable.

Fannie Mae and Ginnie Mae securities have the longest maturities outstanding and consequently the widest selection of securities selling at substantial discounts from par. When looking for deep-discount bonds, Fannie Mae debentures, Ginnie Mae participation certificates, and Federal Land Bank bonds should all be considered.

If the Investment Committee is looking for a stream of monthly payments, the Ginnie Mae pass-through, which is fully backed by the U.S. government, should be considered. Purchasing a pass-through resembles putting a 12-year annuity with the difference being the amount payable each month and is subject to variation due to prepayments of mortgages.

However, developing a Ginnie Mae investment strategy is not easy. It is based on anticipation of interest rate moves. On anticipation of increasing interest rates, the purchase of certificates trading at a premium should be purchased. If interest rates are decreasing, then a lower coupon Ginnie Mae that is trading at a discount should be purchased. The rationale is that if rates are falling, the discounted, or low-coupon, Ginnie Mae’s will be repaid faster increasing their yields-to-maturity; if rates are rising, the premium-priced, or high-coupon, certificates, will be paid back more slowly, again increasing the yield-to-maturity.

The return on agencies is typically slightly more than on Treasury securities. Corporate securities offer still higher yields, but at the expense of some small risk of default.

***Balanced Funds/Managers ***

The Board may determine that it is desirable to employ the use of one or more balanced funds, which shall be pooled investment vehicles, such as a publicly traded mutual fund that publishes daily net asset valuations.

The following guidelines should be used for selecting and retaining investment vehicles serving as balanced funds. While these guidelines are not absolute, the Investment Committee will consider these prior to the purchase and retention of any mutual fund:

1. Fund operating expenses shall not exceed 1.4% annually.
2. Current management must have been present for the past three years unless the fund is under team management. If team management is present, then there must be stability in the group.
3. No 12b-1 charges.
4. No load greater than 3% with preference given to no-load funds.
5. Average annualized return, net of fund level expenses, over a three year time period or more, no less than the returns generated by the average balanced fund as compiled by Lehman Brothers, Standard & Poor’s, or Morningstar, Inc.
6. Incur investment risk no more than that incurred by publicly traded funds with the same investment objective, as measured by the fund’s standard deviation. The risk as measured by Beta will not exceed 1.00.
7. No less than 20% of the fund’s assets should be invested in U.S. government securities or investment grade corporate bonds or a combination thereof at all times.

The Investment Committee will review the performance of each balanced fund quarterly. Total returns will be compared against the average returns for equivalent pooled investment vehicles sharing the same investment objectives for the previous one, three, and five-year periods.

If the fund under performs the applicable averages for a period of two years, the selected fund will be placed on probation for the subsequent twelve months. If over the subsequent year the funds’ average return for the applicable three-year period remains below that earned by the average equivalent pooled investment vehicle sharing the same investment objective, the Investment Committee will decide if the fund continues to be an appropriate investment. The relative risk of the selected investment vehicle will also be reviewed quarterly, as measured by the fund’s standard deviation, over the most recent one, three, and five-year periods.

***Alternative Investments***

***Real Estate ***

When considering an asset class for inclusion in the portfolio, one must consider not only the risk and return characteristics of the asset, but also the diversification benefit it provides. Of the major asset classes, real estate is superior in offering a low correlation, and therefore dampening effect to the volatility, of both domestic and international stocks and bonds. The long-term nature of leases resulting in stable cash flows, a lack of new technologies that change the landscape, and finally the substantial dividend component all explain this low correlation.

The Investment Committee may determine that it is desirable to employ the use of real estate in its portfolio. Investment vehicles that can be utilized include mutual funds, which are pooled investment vehicles, which publish daily net asset valuations. Real Estate Investment Trusts (REITs) are also an acceptable vehicle for real estate investment. REITs offer both low cost and diversity. Exchange traded funds (ETFs) also address low cost and passive management and are also acceptable for use by the Investment Committee. Studies are inconclusive as to whether active management will outperform funds over a long time period with a passive strategy such as REITs and ETFs especially after costs are factored in.

The following guidelines should be used for selecting and retaining investment vehicles serving as Real Estate Funds. While these guidelines are not absolute, the Investment Committee will consider these prior to the purchase and retention of any mutual fund:

1. Have an investment track record of no less than three years.
2. Investment management must have been present for the past three years unless the fund is under team management. If team management is present, then there must be stability in the group.
3. No 12b-1 expenses.
4. Average annualized returns net of fund level expenses, over a three year time period or more, will be no less than the average returns for equivalent pooled investment vehicles sharing the same investment objective.
5. No load greater than 3% with preference given to no-load mutual funds.
6. Investment risk as measured by a Beta of no more than 0.80.
7. Operating expenses shall not exceed 1.0% annually on domestic funds and 1.3% annually on international funds.
8. The Investment Committee will review the performance of each Real Estate Investment quarterly. Total returns will be compared against the average returns for equivalent investment vehicles sharing the same investment objectives for the previous one, three, and five-year periods.
9. If the vehicle under performs the applicable averages for a period of two years, the selected vehicle will be placed on probation for the subsequent twelve months. If over the subsequent year the vehicle’s average return for the applicable three-year period remains below that earned by the average equivalent investment vehicle sharing the same investment objective, the Investment Committee will decide if the vehicle continues to be an appropriate investment. The relative risk of the selected investment vehicle will also be reviewed quarterly, as measured by the fund’s standard deviation and beta, over the most recent one, three, and five-year periods.

***Options***

Equity options can be used to offer protective hedges against downside market moves in underlying equities. Many options strategies are available, ranging from very conservative (Level I) to very aggressive (Level IV) methods in the world of derivatives. The IPS allows only conservative strategies. The most common strategies are the purchase of protective put options against an index such as the S&P 500 index (which is also known as “portfolio insurance”) or the sale of call options on an underlying security (also known as “covered calls”). These strategies are occasionally used to help protect equity positions when underlying market conditions signal the potential need for downside protection of portfolio assets. Additionally, covered call option writing offers the potential for additional income in the AGD portfolio.

***Warrants***

Warrants are similar to call options in that they provide an option to purchase within a specified time, a stated number of shares of common stock at a specified price. There are clear differences in that warrants are issued by corporations, have maturities of at least several years, and are not standardized with each warrant being unique.

A warrant provides the owner with an exercisable option on the underlying common stock of the issuer – that is a claim on the equity of a corporation. All of the conditions of a warrant are specified at its issuance. Although the issuer may set any *expiration date*, typically it is three to ten years. Warrants often provide for a one-to-one ratio in conversion, allowing the holder to purchase a number of common shares equal to the number of warrants converted; however, any *conversion rate* can be specified by the company, and fractional shares may be involved. The warrant holder receives no dividends and has no voting rights. Warrant conversions are usually adjusted automatically for any stock dividends or splits. The *exercise price* is also specified at issuance, and it always exceeds the market price of the stock at the time the warrant is issued.

Warrants provide a cheaper way to invest in a particular common stock because the purchase of a given number of warrants is always cheaper than the purchase of a corresponding number of common stock shares. Therefore, investors can establish a given equity position for a considerably smaller capital investment through the use of warrants. Investor’s trade warrants on exchanges the same way they trade stocks. Most investors never exercise warrants but simply buy and sell them in pursuit of capital gains. In the case of warrants, since no dividends are paid, the expected return must be realized in the form of capital appreciation, or price change, therefore it is imperative to understanding of the price range in which a warrant may trade.

Investments in warrants are subject to additional risks that can result in a loss of all or part of an investment. The fund’s warrant activities and exposure to warrants are classified by the following primary underlying risks: equity price risk. In addition to its primary underlying risks, the fund is also subject to additional risk due to inability of its counterparties to meet the terms of their contracts (termed counterparty risk).

The value of a warrant has two components: time value and intrinsic value. A warrant has a limited life and expires on a certain date. As time to the expiration date of a warrant approaches, the time value of a warrant will decline. In addition, if the stock underlying the warrant declines in price, the intrinsic value of an "in the money" warrant will decline. Further, if the price of the stock underlying the warrant does not exceed the strike price of the warrant on the expiration date, the warrant will expire worthless. As a result, there is the potential for the fund to lose its entire investment in a warrant.

The fund is exposed to counterparty risk from the potential failure of an issuer of warrants to settle its exercised warrants. The maximum risk of loss from counterparty risk to the Fund is the fair value of the contracts and the purchase price of the warrants. While these guidelines are not absolute, the Investment Committee will consider these prior to the purchase and retention of any mutual fund:

1. The company issuing the warrant must be a company registered in the Standard and Poor’s Index of 500 largest firms.
2. The warrant must be traded on a major stock exchange.
3. The underlying stock must be one that the committee would consider acceptable for purchase given the guidelines for equity purchases.

***Additional Investments, if any ***

The Investment Committee has established the following criteria for selecting and retaining other investment vehicles.

The selection of such vehicles shall be restricted by:

1. The aggregate of all such vehicles shall not exceed 10% of the Reserve Account.
2. Proposed managers shall have a proven and successful track record of at least five years in similar investments.

**Investment Monitoring and Control Procedures **

***Investment Monitoring***

The philosophy of this IPS is primarily value-driven over a long timeframe. Therefore, investments are normally held for the long-term and sold only if certain criteria are met. Individual securities in the Investment Fund will generally be sold for one of four reasons:

1. The price reaches our appraisal, or a reduced margin of safety remains.
2. To improve the risk/return profile substantially, e.g., replace a business selling at 80% of its worth with an equally attractive company at 50% of its value.
3. Future earnings power of the company becomes severely impaired by threats to the business, poor capital allocation, or other reasons.
4. The belief that management can no longer build shareholder value and efforts to find new corporate leadership would be unsuccessful or too costly.

Funds will generally be sold for the following reasons:

1. The reasons the fund was purchased are no longer valid.
2. Management has changed causing concern with continuity of the present investment philosophy.
3. Investment philosophy of the fund itself has changed.
4. Fee structure has changed.
5. Changes in the economy dictate removal.

***Reports***

The Investment Committee Chair shall prepare the following reports to the Board:

1. TheBoard will receive a report annually that lists all assets held by the AGD, values for each asset, and all transactions affecting assets within the portfolio, including additions and withdrawals. The Investment Committee Chair shall report to the Board at the appropriate Board Meeting the most recent information. Breakout by asset categories will be provided, with performance compared to appropriate indices.
2. The Board shall receive no less frequently than on a yearly basis and within 30 days after the end of each such period the following management reports on the Investment Fund:
3. Values for each investment asset class held by the AGD
4. Performance for each asset class
5. Performance of standard benchmarks for the same periods
6. End of year status regarding asset allocation – as it conforms to the IPS
7. Any recommendations for changes of the above

3. The Investment Committee, in conjunction with the Vice President, Finance, shall provide an annual summary report to the House of Delegates.

**Duties and Responsibilities **

***The Investment Committee ***

The Investment Committeeis expected to provide advice on the Investment Fund in a manner consistent with this IPS and in accordance with State and Federal law.

The Investment Committee shall be responsible for:

1. Designing, recommending, and implementing an appropriate plan consistent with the investment objectives, time horizon, risk profile, guidelines and constraints outlined in this statement.
2. Recommending an appropriate custodian to safeguard the AGD’s assets.
3. Ensuring that the custodian provides the Investment Committee with a current prospectus, where applicable.
4. Identifying specific assets and/or investment
5. Recommending the purchase of and monitoring the performance of all selected assets.
6. Voting proxies, if necessary, in accordance with the guidelines and restrictions outlined herein where applicable and otherwise according to its best judgment.
7. Provide consulting to the Board on financial decisions as needed.
8. Preparing and presenting appropriate reports annually to the Board.
9. Recommending and implementing changes to the IPS.

The InvestmentCommittee will not take title to any assets nor will it exercise discretionary control over any of the AGD’s assets. It shall be responsible to make transaction recommendations to the Vice President, Finance, who will implement these investment decisions in a timely fashion. Should the Vice President, Finance be absent or unavailable, the Executive Director shall act in his/her place. Since the Investment Committee never takes control of the AGD’s assets, there is no need for bonding of the Investment Committee members; however, the Vice President, Finance is to be bonded for an amount sufficient to protect AGD’s assets.

The Board understands that results from investments cannot be guaranteed and that losses, including principal can occur, even if this policy is followed exactly. Those carrying out the Investment Policy in accordance with the IPS, (including the Vice President, Finance, the Board, and the Investment Committee), in good faith, are indemnified from liability issues related to implementation of the IPS.

***The Board ***

The Board shall be responsible for:

1. Oversight of the Investment Committee.
2. Directing the Investment Committee to consider changes to the IPS and to oversee its recommendations on policy, guidelines, objectives and specific investments.
3. Providing the Investment Committee with relevant information on the AGD’s financial conditions and risk tolerances and inform it promptly of any changes.

**Disclosure **

As per required by the SEC, Investment Committee members agree to make disclosure to the Vice President, Finance, with it available to the Board, current or future holdings greater than a 5% financial interest in any outstanding security considered for investment by the AGD. The Vice President, Finance shall disclose any of his/her holdings directly to the Board. They are also to disclose holdings greater than 5% financial interest in any compensated consultants or brokerage firms that the AGD utilizes. Members shall also disclose employment, business connection, or familial relationship with any of the above entities. Potential conflicts of interest as outlined above shall require abstention from the vote on the investment being considered.

**Adoption **

This policy shall become adopted with approval from the Board.

The Executive Director, with his/her signature, acknowledges he/she is in receipt of a copy of this policy statement and understands its contents.

The Executive Director, with his/her signature, acknowledges he/she is in receipt of a copy of this policy statement and understands its contents. He/She also acknowledges that he/she is given limited transactional authority as provided under this statement and only with a unanimous recommendation by the Investment Committee.

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Executive Director Date

**Acknowledgement **

The genesis of the AGD Investment Policy Statement began due to the foresight of the AGD leadership in 2004 in recognizing the need for a long-term investment policy to protect the organization’s portfolio. The document’s creation and implementation over that time period has involved many individuals to date. It is, therefore, only appropriate that they be recognized for their time and efforts applicable to their involvement with this document. Special thanks to Dr. Kevin Anderson, who was an integral part in the development of the document and was its co-authors Dr. John Portwood and Dr. Mohamed Harunani. The original members of the Investment Committee in 2004 included: Dr. John Portwood, Chair, Dr. Kevin Anderson, Treasurer and Dr. Mohamed Harunani. Members who have served on the Investment Committee since its inception are listed below.

Dr. John Portwood, Chair and co-author, 2004-present

Dr. Kevin Anderson, co-author, 2004-2006

Dr. Mohamed Harunani, co-author, 2004-2018

Dr. Kevin Mears, 2006-2016

Dr. Bryan Edgar, 2008-present

Dr. Richard Knowlton, 2015-2020

Dr. Michael Lew, 2018-present

***Policy Type: V.*** *Board Policy Statements*

**I. Membership Maintenance**

Continuing dental education is a fundamental value of the AGD, and membership in the AGD requires a minimum of 75 hours of CE every three (3) years. Therefore, all members are required to verify this requirement by signing a statement with their annual dues renewal that this requirement is being satisfied. Members requiring documentation for the AGD awards or other needs, such as licensure, will submit course documentation as has been done in the past.

**Submission of CE by Members**

Effective August 31, 2019 all Continuing Education hours (CE) must be submitted to AGD using the AGD online CE submission form by its members and be accompanied by a course completion certificate or verifiable equivalent issued by the course provider in order for it to be displayed on the members’ AGD Licensing and Award Transcripts.

And be it further,

Resolved, that the AGD be a repository for the certificates.

Approved 2017-2018 Board Meeting IV

***Policy Type: V.*** *Board Policy Statements*

**J. Travel Policy**

ACADEMY OF GENERAL DENTISTRY (AGD)

**TRAVEL POLICY**

**PURPOSE**

* To control travel costs and expenditures for the AGD.
* To meet our contracted obligations with hotels by requiring AGD funded travelers to stay in the AGD contracted hotel(s).
* To assure that each reimbursable trip has a specific AGD related business purpose, each trip requires separate documentation to be provided.

**AIR TRAVEL GUIDELINES**

1. Funded travelers will receive a letter or e-mail from the AGD Headquarters Office noting the published meeting starting and ending times.
2. Travelers on AGD business are free to search the Internet for the lowest round trip coach airfare. Travel will be reimbursed at the level of economy/coach class only for domestic travel. If travel is scheduled around peak travel periods, then travel should be booked more than 21 days prior to travel. Should an extra night hotel stay be needed for significant cost savings, then documentation of savings must be provided.
3. Any airfare exceeding $600, or the figure designated for a specific meeting, must be pre-approved prior to securing the reservation. Please send the request for pre-approval to the appropriate staff liaison. In some cases, the AGD will offer recommendations to alter schedules. In other cases, the AGD may be able to purchase the flight with points. A flyer’s frequent flyer preference will not take precedence over the traveler’s flexibility in accepting significantly lower airfares on alternate airlines. If prior approval is not requested, and documented travelers will only be reimbursed $600.

Traveler will not be reimbursed for upgrades in seat assignments or class of ticket. Any upgrades such as moving to an emergency exit row, etc., will be the responsibility of the traveler.

1. Once travel has been reserved, the ticket is non-refundable. Any cancellation or change to the ticket, other than if the change was pre-approved by AGD or if the cancellation or change was initiated by the airline, will be the responsibility of the traveler, and not the AGD. All unused tickets will be returned to AGD.
2. Travelers are not required to stay over a Saturday night in order to obtain a lower airfare. However, if the traveler agrees and the cost savings exceeds the cost of another night of hotel, per diem and parking, the AGD will be responsible for covering the additional hotel night’s charge, per diem and parking. Documentation to support the cost savings should be submitted in order to obtain this additional reimbursement.
3. Members will not be required to arrive on a flight scheduled to land past 11 pm in the time zone of their destination city.
4. If a traveler chooses an itinerary for personal reasons (e.g., such as including a stop in another city), travel costs will be covered for the lowest available airfare between the traveler’s home city and the meeting site. Any additional charges will be the traveler’s responsibility. Please provide a print-out of the airfare between the traveler’s home city and the meeting site for reimbursement purposes.
5. Frequent flyer miles accrued by the traveler while traveling on AGD business are the property of the traveler.
6. Airline compensation vouchers, e.g., for travelers who wish to volunteer their seats for compensation, will remain the property of the traveler providing that the traveler’s participation in the AGD meeting is not compromised in any way.
7. Travelers will be reimbursed upon submission of a receipt for the charge of one checked bag regardless of the length of stay.

**HOTEL ACCOMMODATIONS**

1. For functions in which there is an AGD contracted hotel, all AGD funded travelers are required to stay at the AGD-contracted hotel. Travelers staying at hotels not contracted by the AGD will not be reimbursed for accommodations.
2. All hotel reservations must be made following the AGD’s established housing procedures.
3. Frequent guest points earned during the course of AGD-funded business remain the property of the traveler.
4. For functions in which there is not an AGD contracted hotel, travelers will be reimbursed at the flat rate or single room rate plus tax. If due to an extra guest in the room, the rate is more than the single room rate, the traveler will be responsible for the rate difference.
5. Travelers need to present a personal credit card upon check-in, retaining a bill of charges that should be submitted with the expense reimbursement form.

**GROUND TRANSPORTATION**

1. Travelers will be reimbursed for actual costs of round-trip travel from home/airport/hotel, and if utilizing personal automobile, based on the prevailing IRS mileage rate. It is expected that the most economical method of transportation will be utilized including airport shuttle services or ride-share companies (such as Uber) whenever possible.
2. Limousine service will not be authorized unless it is less than or equal to taxi or shuttle transportation. Travelers wishing to utilize a limousine to and from the airport will only be reimbursed at the shuttle rate or mileage based on the prevailing IRS mileage rate.
3. Rental car expenses will not be authorized unless they are less than or equal to taxi, ride-share or shuttle transportation. Travelers wishing to utilize a rental car must get pre-approval from AGD prior to travel. Please send the request for pre-approval with supporting documentation to the appropriate staff liaison. If prior approval is not authorized, travelers will only be reimbursed at the shuttle rate.
4. When an AGD member is driven to the airport and/or subsequently picked up at the airport, that member will be reimbursed for mileage costs for each round trips to the airport. In such cases, the AGD will reimburse parking only if the individual must park at the airport to pick up the member. No overnight parking charges will be reimbursed. The cost for each round trip should not exceed the cost of a taxi, ride-share or shuttle service.
5. When traveling by air and the member uses his/her personal automobile for transport to and from the airport, the member will be reimbursed based on the prevailing IRS mileage rate. The maximum reimbursement for tolls is $30 each way.
6. When traveling by air and the member uses his/her personal automobile for transport to and from the airport self-parking charges will be reimbursed with a maximum of $30 per day. Any parking exceeding $30 must be-pre-approved prior to travel. Please send the request for pre-approval to your staff liaison.
7. Gasoline charges will not be separately reimbursed since they are covered under the IRS mileage reimbursable allowance.
8. If a traveler chooses to drive for personal reasons, mileage will be reimbursed at the prevailing IRS mileage rate up to the equivalent of the lowest available airfare (between the traveler’s home city and the meeting site, dated at least 21 days prior to travel). Any additional charges, including parking at the meeting location and tolls, will be the traveler’s responsibility. A print-out of the airfare dated 21 days prior to the meeting, between the traveler’s home city and the meeting site is required for reimbursement purposes.
9. Travelers will be responsible for all parking fines and traffic tickets incurred while traveling on AGD-funded business.
10. Reasonable expenses with documentation for taxis or rideshares to/from the hotel to the meeting site will be reimbursed, unless transport is otherwise provided by AGD. Members are encouraged to share transport to reduce overall costs. Only the member in the party who paid for the taxi/rideshare may claim reimbursement.

**TRAVEL VIA OTHER METHODS**

1) Anyone traveling by a method other than commercial air travel or ground transportation as outlined in the preceding sections may submit for reimbursement as if they had traveled by the most economical of those two methods.

2) Appropriate documentation and receipts shall be required. Documentation will include a print-out of the airfare dated at least 21 days prior to the meeting, between the traveler’s home city and the meeting site.

3) Mileage will be calculated at the prevailing IRS mileage between the traveler’s home city and the meeting site.

4) The most economical of the two rates, airfare or driving, will be used to determine final reimbursement.

**PER DIEM**

The per diem rate for each day of official AGD funded business is $75. In no case will the per diem be more than two days additional to the actual official business days. Per diems are not intended to offset lost office production as a result of travel.

**NON-REIMBURSABLE EXPENSES**

Examples of non-reimbursable expenses to be covered by the $75 per day per diem paid to volunteers may include, but are not limited to:

1. Room service or any other food and beverage charges
2. Mini-bar charges
3. Tips and gratuities
4. Charges for any concierge or personal services
5. In-room internet, movies or personal entertainment charges
6. Personal items such as clothing, luggage and reading materials
7. Paper-tickets rather than electronic tickets
8. Airline club, rental car memberships or personal credit card fees
9. Laundry

**EXPENSE REIMBURSEMENT PROCESS**

AGD funded travelers must follow the following procedures when submitting their request for expense reimbursement:

1. Reimbursement for travelers attending AGD related meetings will not be made unless the request along with supporting documentation is provided within 30 days of incurring the expenses. Extenuating circumstances will allow for an appeal process to the Board via an AIR.
2. All expenses greater than $10 require receipts. Even if air and hotel are charged directly to the AGD, an itemized receipt or folio must be submitted as documentation.
3. Itemized receipts and explanations must be submitted with the payment request for activities or meals. Reasons are required to specify the benefit to AGD relating to the expenses. Group activities paid for by one individual must include those in attendance and the AGD business purpose of the activity. Alcohol is not a reimbursable expense as stated in the Board Policy Manual.
4. Members are required to stay for the duration of the meetings they attend or forfeit reimbursement. Any exceptions must be approved by the President or ranking officer.
5. Reimbursed travelers are to remain for the duration of any scheduled meeting unless prior approval has been obtained from the president or in the instance of an emergency situation.

Amended Board Zoom 6-21-22

***Policy Type: V.*** *Board Policy Statements*

**K. Board Funding and Allotment Toolkit**

**Board Funding and Allotment Toolkit**

**Funded**

The budget covers funding for the Board to attend three independent Board Meetings and the AGD annual meeting. The funded meetings include airfare, train, bus travel, hotel, ground transportation, and per diem calculated as the number of hotel nights plus additional day(s) for travel if needed. Additionally, the Executive Committee will be funded to attend convocation and the scientific session.

* Expenses must be submitted to the AGD headquarters office utilizing the AGD’s current reimbursement platform. for each AGD constituent or regional business trip to the AGD headquarters office within 30 days following completion of the trip.
* All expenses submitted should be in accordance with the AGD Travel Memo for the meeting.
* All non-baggage expenses greater than $10 require original receipts.
* All baggage receipts are required regardless of the amount.

**Allotment per Board Member**

The second source of funding comes from the Board Allotment. The Board Allotment is composed of annual funds reimbursed to Board members. The year starts and ends at the AGD annual meeting. Per HOD Policy the allotments may be increased at or below the level of inflation (as defined by the previous 12 months CPI) annually by the Budget and Finance Committee. To be reimbursable, these expenses need to have a clear AGD business purpose and should have a demonstrable benefit to AGD, not to the individual (i.e. dinner with friends, etc.).

Reimbursable expenses may include:

1. Actual expenses in visiting the constituent AGD’s within his or her region. If an automobile is used in traveling to the constituents, the Board member is to be reimbursed at the designated IRS rate.
2. The cost of communicating AGD specific business with officers and various members of the constituent AGDs.
3. The cost of attending meetings of the officers of the constituent AGDs within the region or a caucus of delegates held prior to the annual meeting or governance meetings.
4. AGD activities relating to his or her function as a Board member; the allotment may be used for attendance at Joint Council Meeting, Leadership, and Advocacy Conference.
5. The allotment may also be used by the EC members, as assigned or authorized, for meetings with other allied organizations or other AGD related meetings.

**Reimbursable Allotment Expenses**

\*\* **The balance of your allotment account will be indicated on the form sent with your check after each reimbursement is paid.**

With proper documentation, the following items are permissible expenses:

Air

Hotel

Meals-Food Only

Mileage

Parking

Printing & Postage

Taxi and Shuttle

Tolls

***Please note*: per diem is not a payable expense as part of the Board allotments**. If you are unsure whether a specific expense is eligible for reimbursement, please contact AGD staff for clarification.

Caucus lunches and/or Constituent/Regional social activities at the AGD Annual Meeting or AGD Scientific Session are considered Constituent/Regional expenses and are not reimbursable by AGD.

Allotment Reimbursement

*Board members* must submit documentation for *each* AGD business trip within 30 days following completion of the trip. The same rules apply for reimbursement as the rules for funded travel see current Travel Policy within the BPM).

\*\*\*\* If a Board member incurs expenses over their allotment amount within the year they may appeal to the Board via AIR to use unspent trustee/EC allotment money respectively from that year to cover the overage for that year. Unspent allotment money does not carry over to the next year. Each Board member starts the allotment year at the annual meeting with the current budgeted allotment amount. This system will be explained annually at the Board meeting following right after the annual meeting and/or the new Board member orientation.

EC Corporate Credit Cards

As of 20-21 Board Meeting I, AGD will no longer issue corporate credit cards for all EC members who request them for expenses covered under the Reimbursable Allotment Expenses. Those EC members who have been issued an AGD credit card are allowed to use them until the conclusion of their current term on the EC in accordance with all appropriate AGD policies relative to expense reimbursements for volunteers.

Corporate Credit Card Expense Submission

Submit reimbursements on AGD’s current reimbursement platform which include all receipts and explanations, monthly to the CFO by the fifth business day of the month. Any expenses incurred on these cards outside the list of permissible expenses will require payment to be included with the submission of the Corporate Credit Card Expense Report.

Approved 20-21 Board Meeting I

***Policy Type: V.*** *Board Policy Statements*

**L. Regional Directors’ (RDs) Funding and Allotment Toolkit**



**Regional Directors’ (RDs) Funding and Allotment Toolkit**

This toolkit is intended to help Regional Directors (RDs) learn which AGD meetings they are funded to attend and better understand the RD Allotment process, including their responsibilities for reimbursement. Ultimately, it will enable RDs to effectively utilize the funds available to carry out their duties in accordance with the Role of the Regional Director at the headquarters and constituent level.

The information and resources contained in this kit are designed to help you:

1. Learn the difference between RD “funded” and RD allotment
2. Learn the process for determining RD allotments amounts
3. Learn AGD policies governing RD allotments
4. Learn the RD allotment funding cycle/year
5. Learn what expenses are reimbursable under the RD allotments
6. Learn the RD reimbursement process
7. Learn the RD Poolshare process

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**Funded vs. Allotment**

Funded

Regional Director funding for expenses incurred by the RD on behalf of the AGD comes from two different sources. The first source is the Regional Director budget that is developed by AGD staff via the annual budgeting process. The budget covers funding for RDs to attend the RD Meeting held in in the spring (April) and in the fall (November) prior to the AGD Annual Meeting. The RD funded meetings include air fare, train, bus travel, hotel, ground transportation and per diem calculated as the number of hotel nights plus additional day(s) for travel if needed. The reimbursement process for these meetings will be covered in a subsequent section of this toolkit.

Allotment per Regional Director

The second source of funding comes from the Regional Director Allotment. The Regional Director Allotment is composed of annual funds reimbursed to Regional Directors. The year starts and ends at the AGD annual meeting. Per HOD Policy, the allotments may be increased at or below the level of inflation (as defined by the previous 12 months CPI) annually by the Budget and Finance Committee. To be reimbursable, these expenses need to have a clear AGD business purpose and should have a demonstrable benefit to AGD, not to the individual (i.e. dinner with friends, etc.).

**Reimbursable Allotment Expenses**

RDs can submit expenses to the AGD for the following items up to the limit established by the House of Delegates (HOD) in their respective allotments. Reimbursement for RDs attending AGD related constituent meetings will not be paid unless documentation is provided within 30 days of incurring the expenses. Expenses that are submitted after 30 days (due to extenuating circumstances) can be appealed to the Board via AIR. In addition to the allowable expenses outlined below, RDs can use their allotment to cover additional days during the AGD Annual Meeting, AGD Scientific Session and Advocacy Conferences. RDs should budget their allotment accordingly so as not to overspend the allotted funds for the calendar year. To be reimbursable, these expenses need to have a clear AGD business purpose and should have a demonstrable benefit to AGD, not to the individual (i.e. dinner with friends, etc.).

With proper documentation, the following items are permissible expenses:

Air

Hotel

Meals-Food Only

Mileage

Parking

Printing & Postage

Taxi and Shuttle

Tolls

Caucus lunches and/or Constituent/Regional social activities at the AGD Annual Meeting or AGD Scientific Session are considered Constituent/Regional expenses and are not reimbursable by AGD.

Allotment Reimbursement

Regional Directors must submit documentation for *each* AGD business trip within 30 days following completion of the trip. The same rules apply for reimbursement as the rules for funded travel see current Travel Policy within the BPM).

Funded Reimbursement

* Expenses must be submitted to the AGD headquarters office utilizing the AGD’s current reimbursement platform. for *each* AGD constituent or regional business trip to the AGD headquarters office within 30 days following completion of the trip.
* All expenses submitted should be in accordance with the AGD Travel Memo for the meeting.
* All non-baggage expenses greater than $10require original receipts.
* All baggage receipts are required regardless of the amount.

**RD Funding and Allotment Expense Reimbursement Training & Budgeting Process**

Each year, the RD Chair, or his/her appointee, will designate training time during an RD meeting pertaining to the RD allotment process, reimbursement, unspent allotments and funded meetings. At that time, each Regional Director will be trained in use of the current AGD reimbursement platform as well as how to access the Leader Resource Center for the RD toolkit via the AGD Web site. RDs are responsible for ~~to~~ keeping track of what is being submitted for reimbursement. The guidelines for how RDs should budget their allotments for the year will also be discussed during this meeting.

**RD Poolshare**

This step-by-step timeline provides detailed information on what is needed to successfully monitor and disburse unused RD allotments. The RD Allotment budgeting process will be overseen by the AGD Finance Department to ensure compliance with AGD policies. If the AGD Finance Department decision is disputed by an RD, the AGD Treasurer shall be authorized to resolve the dispute. AGD Constituent Services will track RD allotment budgets. ***Please note: It is not a guarantee there will be unspent RD allotment funds available and thus RD requests are subject to be denied.***

|  |  |  |  |
| --- | --- | --- | --- |
| **Deadline** | **Element Description** | **Specifics** | **Responsible Party** |
| RD Fall meeting (November) | Review Pool Share Process | Discuss RD “pool share” from previous year and make recommendations to improve the process. | Appointed Regional Directors |
| Week following AGD Annual Meeting | RD Fall Meeting Expense Reimbursement | CST will post message to RD AGD Connect regarding expense reimbursements and include links to toolkit and reimbursement platform. | AGD Constituent Services |
| Ongoing | Allotment Expense Reminder | CST will post message to RD AGD Connect reminding RDs to submit expenses for travel that was completed within the last 30 days. | AGD Constituent Services |
| April 1 – end of AGD Scientific Session | Allotment Pool Share Contributions Confirmed | RD allotment “pool share” funds are available (if any) for RD request via the reimbursement platform. Finance staff to monitor funding requests. Please note: funds can be requested at any time; however April is typically when RDs have depleted their allotted funds. | Finance Department |
| No later than 30 days after the end of the RD Meeting | Allotment Pool Share Funds Requests | RD allotment “pool share” funds requests to be submitted via the reimbursement platform. | Finance Department |
| No later than 60 days after the end of the RD Meeting | Allotment Pool Share Funds Request Reviewed | RD allotment “poolshare” fund requests reviewed and approved or denied. | Finance Department |
| No later than 90 days after the end of the RD Meeting | Allotment Pool Share Funds Disbursed | RD allotment “poolshare” funds disbursed to RDs approved to receive additional allotment funds. | Finance Department |

Approved 21-22 Board Meeting I

***Policy Type: V.*** *Board Policy Statements*

**M. Use of AGD Letterhead By Volunteers**

**Do’s and Don’ts**

If a volunteer has a title, he or she may have “apparent authority” to bind the AGD contractually, or personal statements may be attributed to the AGD. This possibility is exacerbated if the volunteer uses AGD letterhead.

The following list of do’s and don’ts is meant to help volunteers use AGD letterhead appropriately and avoid unintended consequences.

DO use AGD letterhead for:

* Thanking other volunteers for their efforts
* Corresponding with officers and Board members
* Corresponding with staff
* Carrying out specific assignments from the Board or President

DON’T use AGD letterhead for:

* Making negative statements about organizations or persons
* Expressing opinions on dental issues, unless assigned to do so by the Board or President
* Making commitments or promises
* Amending contractual arrangements

***Policy Type: V.*** *Board Policy Statements*

**N. Whistleblower Policy**

**ACADEMY OF GENERAL DENTISTRY**

**WHISTLEBLOWER POLICY**

**General**

The AGD Code of Conduct requires the Board, other volunteers, and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. Employees and representatives of the AGD must practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations.

The objectives of the Academy of General Dentistry Whistleblower Policy are to establish policies and procedures for:

* The submission of concerns regarding questionable accounting, internal control, audit, or Code of Conduct matters, by employees, the Board, and other stakeholders of the organization, on a confidential and anonymous basis;
* The receipt, retention, and treatment of complaints received by the organization regarding accounting, internal controls, audit, Code of Conduct matters, or lack of adherence to policy or law;
* The protection of the Board, volunteers, and employees reporting concerns from retaliatory actions.

**Reporting Responsibility**

Each Board member, volunteer, and employee of the AGD has an obligation to report in accordance with this Whistleblower Policy (a) questionable or improper accounting, internal control, or auditing matters, and (b) violations and suspected violations of the AGD’s Code of Conduct (hereinafter collectively referred to as Concerns).

**Authority of the Dispute Resolution Committee**

All reported Concerns will be forwarded to the DRC in accordance with the procedures set forth herein. The DRC shall be responsible for investigating and making appropriate recommendations to the Board. The investigation may utilize AGD staff or a third party. Code of Conduct Concerns will be reported to the appropriate person/body as stated in that policy document.

Matters involving AGD finances will remain the purview of the Audit Committee. If these financial matters infringe on the Code of Conduct, they will then be forwarded to the DRC.

**No Retaliation**

This Whistleblower Policy is intended to encourage and enable the Board, volunteers, and employees to raise Concerns within the AGD for investigation and appropriate action. With this goal in mind, no trustee, volunteer, or employee who, in good faith, reports a Concern shall be subject to retaliation or, in the case of an employee, adverse employment consequences. Moreover, a volunteer or employee who retaliates against someone who has reported a Concern in good faith is subject to discipline up to and including dismissal from the volunteer position or termination of employment.

**Reporting Concerns**

**Employees**

Employees should first discuss their Concerns with their immediate supervisors. If, after speaking with his or her supervisor, the individual continues to have reasonable grounds to believe the Concern is valid, the individual should report the Concern to the head of Human Resources. In addition, if the individual is uncomfortable speaking with his or her supervisor, or the supervisor is a subject of the Concern, the individual should report the Concern directly to the head of Human Resources.

If the Concern was reported verbally to the head of Human Resources, the reporting individual, with assistance from the head of Human Resources, shall reduce the Concern to writing. The head of Human Resources is required to promptly report the Concern to the chair of the DRC, who has specific and exclusive responsibility to investigate all Concerns. If the head of Human Resources for any reason, does not promptly forward the Concern to the DRC, the reporting individual should directly report the Concern to the chair of the DRC. Contact information for the chair of the DRC may be obtained through the human resources department or may be looked up in iMIS. Concerns may be also be submitted anonymously. Such anonymous Concerns should be in writing and sent directly to the chair of the DRC.

**The Board and Other Volunteers**

The Board and other volunteers should submit Concerns in writing directly to the chair of the DRC. Contact information for the chair of the DRC may be obtained from the AGD website or the AGD staff person in charge of Finance.

**Handling of Reported Violations**

The DRC shall address all reported Concerns. The chair of the DRC shall immediately notify the entire committee, the President, the Executive Director, and AGD staff person in charge of Finance of any such report. The chair of the DRC will notify the sender and acknowledge receipt of the Concern within five business days, if possible. It will not be possible to acknowledge receipt of anonymously submitted Concerns. In addition, the chair of the DRC does not need to notify those individuals who are the subject of an investigation.

All reports will be promptly investigated by the DRC, and appropriate corrective action will be recommended to the Board, if warranted by the investigation. In addition, action taken must include a conclusion and/or follow-up with the complainant for complete closure of the Concern.

The DRC has the authority to retain outside legal counsel, accountants, private investigators, or any other resource deemed necessary to conduct a full and complete investigation of the allegations. Agreements with agents or consultants must be in writing on AGD letterhead. Such agreements must clearly set forth the services to be performed, the basis for earning the commission or fee involved, and the rate or fee. All such agreements must be reviewed by the proper authority prior to execution. Any payments must be reasonable in amount, not excessive in light of the practice in the trade, and commensurate with the value of the services rendered.

**Acting in Good Faith**

Anyone reporting a Concern must act in good faith and have reasonable grounds for believing the information disclosed indicates an improper accounting or auditing practice, internal control or a violation of policy or the Code of Conduct. The act of making allegations that prove to be unsubstantiated, and that prove to have been made maliciously, recklessly, or with the foreknowledge that the allegations are false, will be viewed as a serious disciplinary offense and may result in discipline, up to and including dismissal from the volunteer position or termination of employment. Such conduct may also give rise to other actions, including civil lawsuits.

**Confidentiality**

Reports of Concerns, and investigations pertaining thereto, shall be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Disclosure of reports of Concerns to individuals not involved in the investigation will be viewed as a serious disciplinary offense and may result in discipline, up to and including termination of employment. Such conduct may also give rise to other actions, including civil lawsuits.

***Policy Type: V.*** *Board Policy Statements*

**O. Terminology**

Trustees – The 19 Trustees elected by their respective regions

Officers – Those elected by the House of Delegates, i.e., President, President-Elect, Vice President, Secretary, Treasurer, Speaker of the House of Delegates, and Editor

Executive Committee – Officers

The Board - The 19 Trustees plus the Executive Committee

Officers should be referred to by their title or as members of the Board, but not as “Trustees.” And be it further,

Resolved, that the Constitution, Bylaws and Judicial Affairs Council be asked provide a recommendation to amend the Bylaws so that they are consistent with these definitions.

Definition of AGD Leader

Executive Committee member/Trustee

Regional Director

Council/Committee member

Any work group by any name

Past Presidents

Delegates/Alternates

Constituent Officers

Constituent Executives who are dentists

“Resolved, that the AGD define a New Dentist as a member who has graduated from dental school within the past 10 years.”

Approved 2017-2018 Board Meeting III

***Policy Type: V.*** *Board Policy Statements*

**P. Annual Meeting Reimbursement**

Resolved, that AGD Delegates be required to vote in an election in order to receive reimbursement.

Resolved, that delegates attend Reference Committees, Candidates Forum, and Town Hall held at the AGD Annual Meeting in order to receive reimbursement.

Approved 2015 Board Meeting III

Resolved, that all members attending the Annual Meeting must pre-register in order to be eligible for Annual Meeting reimbursement.”

Approved 18-19 Board Meeting II

***Policy Type: V.*** *Board Policy Statements*

**Q. Sunset Review Process and Schedule**

“Resolved, that a sunset review process be implemented for all councils and committees. And be it further,

Resolved, that each council and committee conduct a self-study to examine its charge; determine its relevance, address its efficiency, productivity; and to make any recommendations regarding modifications or course corrections that are needed to address its findings. And be it further,

Resolved, that these be done on a rotational basis such that all councils and committees will have completed the survey every five years. The result of these studies shall be reported to the Board and the House of Delegates using a standard template.”

Sunset Review Process schedule

2022-2023

Awards Committee

Group Benefits Council

Membership Council

Congressional Liaison

2023-2024

Audit Committee

Dispute Resolution Committee

Dental Education Council

Program Approval for Continuing Education (PACE) Council

Scientific Meeting Council

Self-Instruction Committee

*The Governance Evaluation and Review Committee, will be sunsetted by the Board when its charge has been completed. Per their charge*

2024-2025

Advocacy Fund Committee

Budget and Finance Committee

Dental Practice Council

Investment Committee

Legislative and Governmental Affairs Council

New Dentist Committee

Policy Review Committee

2025-2026

Credentials and Elections Committee

Examination Council

Examination Assessment Committee

Examination Development Committee

Examination Materials Committee

Congressional Liaison

2026-2027

Compensation Committee

Communications Council

Constitution, Bylaws and Judicial Affairs Council

Professional Relations Committee

And be it further,

Resolved, that all council and committee charges be amended to include the following charge:

To adhere to the Sunset Review Process and Schedule outlined in Policy Type V.: Board Policy Statements.

Approved 2022-2023 Board Meeting II

***Policy Type: V.*** *Board Policy Statements*

**R. MasterTrack®**

**Trademark License Agreement**

**BETWEEN THE ACADEMY OF GENERAL DENTISTRY**

**AND \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

This Trademark License Agreement (the “Agreement”) is made this \_\_\_\_\_\_ day of \_\_\_\_\_\_ , 20\_\_, between the Academy of General Dentistry (AGD), an Illinois not-for-profit corporation (the “Licensor”), and \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, a(n) \_\_\_\_\_\_\_\_\_\_\_\_\_\_ not-for-profit corporation (the “Licensee”) , in consideration of the mutual covenants and obligations of the parties contained herein and for the purposes set forth in the terms outlined below.

1. Grant of License.
   1. Licensor is the exclusive owner of the “MasterTrack®” trademark for use in connection with “providing educational information relating to classes and educational programs in the field of dentistry” (the “mark”). In accordance with this Agreement, Licensor grants Licensee, a non-exclusive license to use the mark for the limited purpose of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ in accordance with the published MasterTrack® Guidelines. All use of the mark shall inure to the benefit of Licensor. Licensor retains title and ownership of the mark and Licensee shall not challenge the validity of or Licensor’s ownership of the mark. The term of this Agreement shall begin on the \_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_, 20\_\_\_\_ and expire on the \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, 20\_\_\_\_\_ (the “Term”).
   2. All rights other than those specifically granted herein to Licensee are reserved to Licensor including, without limitation, the right to continue to use the mark in any medium.
2. Payment of Fee

Licensee shall pay Licensor an annual fee of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. The fee shall be due on January 31 of each year.

1. Separate Entities.

Licensor and Licensee expressly agree that they are, and shall remain, separate entities and that no partnership or agency is created by virtue of this Agreement. Neither party shall be authorized to incur any liability, obligation, or expense on behalf of the other.

1. Quality Control and Acceptance

Licensee understands and agrees that an essential condition of this Agreement is the protection of the high reputation enjoyed by the Licensor for the mark, and that, in keeping with that condition, any and all use of the mark, shall be of high consistent quality and subject to the approval and continuing supervision and control of Licensor. Upon the request of Licensor, Licensee shall submit to Licensor, on an annual basis during the Term, information associated with its use of the mark, including but not limited to a schedule of planned courses, including names of all contracted instructors, a list of educational objectives associated with those courses, a copy of each of course materials including any advertising materials, and the name and contact information of any and all MasterTrack program directors. Should Licensor fail to notify Licensee of any quality control issues relating to any use of the mark within thirty (30) days after receipt of said information, then said information will be deemed accepted by Licensor. The parties shall negotiate in good faith to resolve any quality control issues of which Licensor may notify Licensee.

5. Termination of License.

Licensor may terminate this Agreement: (a) for any reason upon sixty (60) days written notice to Licensee, or (b) upon ten (10) days notice to Licensee in the event of Licensee’s material breach of this Agreement, provided that Licensee may request an opportunity to present an objection to a proposed termination to the AGD Board within such ten (10) day period, in which case the proposed termination shall not become effective until ratified by the AGD Board, provided that all rights of Licensor hereunder will be suspended until the AGD Board makes its determination.

Notwithstanding anything in this Agreement to the contrary, upon delivery of notice of termination, Licensee shall promptly cease and desist from all use of the mark.

6. INDEMNIFICATION.

Licensee hereby indemnifies Licensor and undertakes to defend Licensor and hold it harmless from occurrences resulting in any claims, suits, loss, damage, and costs (including reasonable attorney fees and expenses) arising out of Licensee's advertisement, offer for sale, sale, distribution, or use of the services, arising out of any alleged defects or malfunctions of the services which are distributed by Licensee or arising out of Licensee's advertisement, offer for sale, sale, or performance of the services, provided, that the defense of any such claim shall be completely within the control of Licensee.

7. Miscellaneous.

7.1 Controlling Law.

This Agreement shall be governed by and construed in accordance with the laws of the State of Illinois, and venue for any disputes shall be Chicago, Illinois.

7.2 Successors and Assigns.

This Agreement shall inure to the benefit of the parties and their successors and assigns. Neither party may sublicense or assign any of its rights or obligations under this Agreement without the prior written consent of the other party.

7.3 Notices.

Any notice contemplated by, or made pursuant to, this Agreement shall be in writing and made by courier, facsimile, e-mail or mail addressed or directed to the Licensor or the Licensee at the address shown. Either party may change the address for notice by 10 days advance written notice to the other party.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed by their duly authorized representatives, effective as of the date first written above.

Licensor:

Academy of General Dentistry

211 East Chicago Ave., Ste 900

Chicago, IL 60611-1999, USA

By \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Licensee:

[ ]

[Street Address]

[City, State, Zip Country]

By \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Title \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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**Academy of General Dentistry   
Guidelines for MasterTrack® Programs**

**Introduction**

MasterTrack® Programs (MTPs) were created to aid Fellows in the Academy of General Dentistry (AGD) as they pursue Mastership. Helping Fellows achieve Mastership is perhaps one of the best member benefits a constituent can offer, and a MTP is one way to provide this sought-after member benefit. Quality continuing education (CE) is the core competency of the AGD, and Mastership is the highest level of CE attainment that the AGD recognizes.

Most MTPs are administered by AGD constituents. However, any nationally recognized Program Approval for Continuing Education (PACE) - or Continuing Education Recognition Program (CERP)-approved provider may offer a series of CE courses and call that program MasterTrack®, as long as that organization makes application and follows these guidelines.

In order to ensure that all MTPs are administered in a consistent manner, the AGD has developed these guidelines and an application process so each MTP participant can expect a consistent experience. AGD Headquarters has many resources to assist in the development and maintenance of an MTP.

The MasterTrack® Manual is a companion to this document. There are many ways to organize an MTP, and the manual will help you develop a program that will fit your organization’s needs while closely following these guidelines. The manual is available on the AGD website, *www.agd.org*, or by calling the AGD Education Department at 888.AGD.DENT (888.243.3368), ext. 4335.

**Application**

In order to allow sufficient time to develop a new MTP, an application must be submitted by the proposed Program Director at least nine months in advance of the program’s initiation. The application must be complete and include all requested supporting documentation. Incomplete applications will be returned.

An existing MTP Program Director will need to submit an application under two circumstances: when a new program cycle starts, or when a new program director (PD) assumes the position. These events may or may not be concurrent. This application cycle may not coincide with PACE/CERP application renewal, as these are separate processes. This application also must be submitted nine months prior to the commencement of the program cycle or when a new PD is expected to take over.

The application will be submitted to the Dental Education Council for approval. Applications must allow up to three months for approval.

**MasterTrack® Program Provider**

The MTP or parent organization must be a nationally recognized PACE or CERP provider or have a co-provider agreement with a nationally recognized PACE or CERP provider. The providing organization will supply information to the AGD as specified in these guidelines and as determined by AGD. At no time during the program cycle should the PACE/CERP approval status lapse.

**Administration and Program Director Qualifications**

The MasterTrack® PD will be responsible for all aspects of the course’s MTP application, administration and curriculum development. The course’s administrative structure must include a PD who has sufficient authority and time to plan, conduct, and evaluate the program. The MTP must have a committee of dentists to assist and advise the PD on curriculum development. The director must have background, through education and/or experience, in the development and management of CE programs. The PD must be a current or previous faculty member of a CODA accredited dental program, and/or a past participant of a MTP and a current AGD Master. PDs are required to take part in any training that the AGD may require.

If the PD candidate does not have the above credentials, the program provider must be able to demonstrate to the AGD Dental Education Council that the Program Director understands and can adhere to the MTP Guidelines and PACE Standards. Potential solutions could be to have a co-director who has the qualifications, or to ensure that presentation evaluators are well qualified to evaluate homework assignments. Original instructors should return for presentations and create a group discussion to enrich the learning objectives. If the original instructors will not be available to return for presentations, a pre-designated evaluator must serve as the evaluator and discussion leader for the presentations. In this case, the pre-designated evaluator must be present at the original lecture where the material is presented so he or she is clear about the education delivered and homework assigned.

The administrative structure also may include a position or positions to assist the director with management of the program. Clerical assistance must be sufficient to permit efficient operation of the program.

**Finances**

The MTP shall have financial resources that are sufficient to meet the goals of the program and the planned activities. The MTP will prepare and submit to the AGD a program budget. The budget could include, but is not limited to, the following expenses: stipends for speakers and the PD, facility expenses, support personnel, publicity materials, and other such expenses needed to provide the educational activity.

**Publicity**

Publicity about the program shall be informative and accurate, and shall fully inform the participant, in general, of the educational experience that will be provided. It must include descriptions of content, educational objectives and methods, dates, times, class location, tuition and any other costs, speakers’ names and credentials, disclosure of any sponsorship, any prerequisites, a refund and cancellation policy, details of any expected social events, contact name and information, and the PACE/CERP logo and appropriate approval terms. In other words, the publicity must follow PACE and/or CERP standards.

Publicity and promotional material could include, but is not limited to, brochures, postcards, websites, and any electronic publicity distributed to the profession to promote the MTP.

**Facilities**

The facilities and resources must be adequate to provide the experiences required to fulfill the educational objectives of each session of the MTP.

**Curriculum**

A long-term program of scheduled topics designed to help AGD members fulfill the participation CE requirements of the AGD Mastership Award must be developed. Content outlines—including written goals, instructional objectives on the topics to be presented, CE categories, hours awarded, and presentation evaluation procedures—must be developed for all aspects of instruction prior to the start of the program cycle. Either participation or protocol methods can be utilized to meet the educational objectives, but they must follow the PACE and CERP standards. Most MTPs utilize the protocol method of education to minimize time spent in the classroom setting and maximize CE unit/time.

***Participation:*** A participation course is one in which all participants actively manipulate dental materials or devices, treat patients, or otherwise practice skills or techniques under the direct supervision of a qualified instructor. The participation activities must represent at least 30 percent of total course time and must directly address the course’s major educational objective(s).

For example, if a topic session met for 12 hours total, eight hours one day and four hours the next day for a hands-on exercise, the entire course can be awarded 12 participation hours because 33 percent of the course was hands-on. These hours also may be turned in immediately upon the completion of the course, as the student will have completed all requirements of the course on-site.

Utilizing the protocol method of education but also incorporating hands-on participation can allow participation credits to be awarded to those who may not choose to do a homework assignment.

Appropriate steps must be taken to ensure patient protection when the course includes patient treatment by either the presenter or students. This includes providing appropriate equipment and instruments, obtaining written informed consent from the patient(s) before treatment, and arranging for emergency and postoperative care.

**Participation courses must be limited to a maximum of 15 students per instructor or teaching assistant**.

***Protocol:*** A protocol course is another means of providing participation credit. This format combines on-site/in-office education. The on-site portion consists of a lecture and demonstration of the topic and the required homework assignment. Attendees receive credit for completing in-office assignments while not under the direct supervision of an instructor, as well as for regular classroom attendance. The in-office assignments are typically hands-on work with models, patients, or devices. The program concludes with case presentations by each participant to his or her original peers, the PD and the instructor and/or a pre-designated evaluator.

Participation hours can be awarded for the successful completion of the homework assignments and presentation up to the number of original classroom hours spent on that topic, and should be commensurate with the amount of work involved to do the homework assignment and prepare for the presentation.

Homework assignments must be meaningful and challenging but within the ability of each individual participant. The presentation should include documentation and presentation of consents and releases, medical/dental history, preoperative records (exam findings, radiographs, models, etc.), diagnosis, treatment plan, and the final treatment provided.

A bibliography of current literature for each topic must be provided to participants to assist in further study or answer any questions during performance and preparation of the homework assignment.

Additionally, MasterTrack® programs may choose to provide all 600 hours of the CE required to achieve AGD Mastership, or only the 400 hours of participation credit.

Program offering only 400 participation credits:

|  |  |  |
| --- | --- | --- |
| Subject Category | Subject Code | Participation Minimum |
| Basic Science | 010 | 12 |
| Endodontics | 070 | 30 |
| Electives | 130 | 30 |
| Myofacial Pain/Occlusion | 180 | 30 |
| Operative Dentistry | 250 | 30 |
| Anes/Pain/Mgmt/Sedation/Pharm\*\* | 340 | 12 |
| Oral/Max Surgery | 310 | 30 |
| Orthodontics | 370 | 12 |
| Pediatrics | 430 | 12 |
| Periodontics | 490 | 30 |
| Practice Mgmt | 550 | 0 |
| Fixed Prosth | 610 | 30 |
| Removable Prosth | 670 | 30 |
| Implants | 690 | 30 |
| Oral Med/Oral Dx | 730 | 12 |
| Special Pt Care | 750 | 12 |
| Esthetics | 780 | 30 |
| Total Hours |  | 360 |
| Total Required |  | 400 |

\*\*These changes will go into effect Jan. 1, 2017. Any member who has not achieved or applied for Fellowship, Mastership, or Lifelong Learning and Service Recognition (LLSR) by Dec. 31, 2016, will be expected to meet the updated CE requirements.

Program offering all 600 CE credits:

|  |  |  |  |
| --- | --- | --- | --- |
| Subject Category | Subject Code | Participation Minimum | Total Required Minimum |
| Basic Science | 010 | 12 | 12 |
| Endodontics | 070 | 30 | 46 |
| Electives | 130 | 30 | 46 |
| Myofacial Pain/Occlusion | 180 | 30 | 46 |
| Orofacial Pain\*\* | 190 | 0 | 12 |
| Operative Dentistry | 250 | 30 | 46 |
| Oral/Max Surgery | 310 | 30 | 46 |
| Anes/Pain Mgmt/ Sedation/Pharm\*\* | 340 | 12 | 12 |
| Orthodontics | 370 | 12 | 12 |
| Pediatrics | 430 | 12 | 12 |
| Periodontics | 490 | 30 | 46 |
| Practice Mgmt | 550 | 0 | 24 |
| Fixed Prosth | 610 | 30 | 46 |
| Removable Prosth | 670 | 30 | 46 |
| Implants | 690 | 30 | 46 |
| Oral Med/Oral Dx | 730 | 12 | 12 |
| Special Pt Care | 750 | 12 | 12 |
| Esthetics | 780 | 30 | 46 |
| Total hours |  | 372 | 568 |
| Total Required |  | 400 | 600 |

\*\*These changes go into effect Jan. 1, 2017. Any member who has not achieved or applied for Fellowship, Mastership, or LLSR by Dec. 31, 2016, will be expected to meet the updated CE requirements.

**Instructors**

Instructors must be qualified in the subject matter they are teaching by education and/or experience. Any commercial conflicts of interest an instructor may have must be declared and disclosed to the audience at the beginning of each instructional session. The MTP should obtain written conflict of interest declarations for each instructor. For the protocol educational method, whenever possible, the instructor who taught the subject matter should return for case presentations to perform a critical evaluation to assure mastery of the subject material. If this is not possible, the PD can utilize a pre-designated evaluator, who is a general dentist or specialist with increased knowledge in the subject being taught, to perform the presentation evaluation and lead discussion for further education of the group. If this option is utilized, the pre-designated evaluator **must be present at the original educational session** so that all aspects of the original instructor’s program are incorporated into the evaluation process and discussion.

Discussion during presentations should be led by the instructor or pre-designated evaluator and continually tied to current literature to further enrich participants’ educational experience.

**Evaluation**

An evaluation mechanism must be developed to objectively critique and give feedback to participants regarding their clinical homework assignment and presentation. The objective evaluation of presentations will determine the basis for awarding CE hours. Case presentations should be evaluated on quality of case selection, appropriate documentation (consents and releases), medical and dental history, preoperative data (exam findings, radiographs, photographs, models, etc.), diagnosis, treatment plan, and treatment rendered. You are encouraged to use the standardized evaluation forms available from the AGD. Evaluation forms must be kept for the length of time required by state law or seven years, whichever is greater.

A remediation plan must be developed to give participants who do not meet the presentation standards an opportunity for coaching and the ability to make up inadequate work so that CE hours can be awarded at a later date.

Secondly, an evaluation mechanism must be developed to evaluate the MTP in its entirety, from administration and facility to instructors and PD. This essential tool will help to shape and improve your program on an ongoing basis.

Another evaluation process should be developed to evaluate each speaker at end of each educational session, and the PD and overall experience at the end of the MTP itself. A summary of the Program evaluations shall be submitted to the AGD at the end of the program.

The AGD could monitor a session at any time to ensure compliance with these guidelines.

**Records**

The CE-issuing provider must correctly submit hours to AGD, maintain accurate and permanent attendance records, and issue an accurate verification of attendance to each participant, specifying hours, subject code, and educational method, following all PACE and CERP requirements for such. The record of attendance must not resemble a certificate or diploma.

If other approval is required in your state, the provider is responsible for obtaining such approval.

**Commercial Support**

All commercial relationships between the provider, PD, course presenters and/or a commercial company must be fully disclosed to the MasterTrack® participants at each session and on all publicity. PACE or CERP standards and guidelines regarding commercial support are expected to be followed.

***Policy Type: V.*** *Board Policy Statements*

**S. Management of Records used in Preparation of Minutes**

During the executive session of any agency (House of Delegates, Board, Executive Committee, council, committee or task force, etc.) there will be no audio, digital, video or other type of recordings of the executive session of such meetings by any attendee, whether it be an AGD member, non-member, guest, staff, or contractor.

No recordings, notes, or drafts of any agency meeting shall be transmitted to any other agency unless requested by such agency in writing and approved by that recording agency via a majority vote. The Board, however, is entitled to recordings, notes and drafts of all inferior agencies, except where bylaws or Board policy specifically prohibit such access/sharing.

Upon approval of any agency (House of Delegates, Board, Executive Committee, council, committee or task force, etc.) minutes, any and all audio, digital, video, written or other type of recordings of the business portion of such meetings in staff’s possession will be purged by staff, in a manner consistent with all state and federal law, within one month after the minutes have been approved.

Approved 2020-2021 Board Meeting II

***Policy Type: V.*** *Board Policy Statements*

**T. Town Hall**

A Town Hall meeting of sufficient length and depth shall be held in conjunction with each year’s House of Delegates, so that all Delegate questions on resolutions and other matters are answered.

Approved 2015 Board Meeting III

***Policy Type: V.*** *Board Policy Statements*

**U. Alcohol Policy**

Alcoholic consumption at Board, council, committee, or task force dinners is the financial responsibility of the individual and will not be paid for by the Academy of General Dentistry.

Approved 2015 Board Meeting III

***Policy Type: V.*** *Board Guidelines*

**V. Legal Counsel**

Resolved, that the AGD President and Executive Director, or their designee, be the primary contacts with AGD outside counsel, and that individual AGD Board members refrain from contacting the AGD outside counsel without prior approval from the AGD President or Executive Director. If an individual Board member does contact the AGD outside counsel without prior approval, they may be responsible for the direct costs of AGD outside counsel’s time billed to the AGD, if that cost is not approved by the Board.

Approved 2017-2018 Board Meeting II

***Policy Type: V.*** *Board Guidelines*

**W. Educational Collaboration Guidelines**

**Educational Collaborations**

Guidelines for AGD Educational Collaborations

*Definitions*

**Educational Collaboration**: A relationship between the AGD and another entity(ies) (the “parties”) for the purpose of collaboration between the parties to provide educational programming to members of the AGD and/or members of the other entity(ies)

*Guidelines*

General considerations of entering an educational collaboration

* All AGD costs associated with the potential contract should be considered in a business plan or the equivalent – for example, a 2 or 5 year business plan - before moving forward.
* The business plan or its equivalent will be developed by staff and will include, but not be limited to, staff and marketing costs, and will consider that the initial investment may be higher than ongoing costs for both parties.
* The educational collaboration must benefit the AGD and protect the AGD name and reputation.
* The collaboration should consider mutual benefits and mutual liabilities of the parties.
* The collaboration should generate non-dues revenue, collaboration dollars, or royalties for the AGD. If the collaboration is of a variety such that revenue may not be generated, such as a strictly CE agreement, other benefits to the AGD or its constituents must be identified.
* The collaboration shall not be to the detriment of and should benefit current educational offerings such as the Scientific Session, the Online Learning Center or other AGD educational resources.

Characteristics of the other entity(ies)

The AGD shall enter into educational collaborations only with entity(ies) that meet, or exceed if applicable, the following criteria:

1. Each entity is a Program Approval for Continuing Education (PACE) provider that maintains the standards of the PACE program and meets the standards of the AGD as determined by the AGD Dental Education (DE) Council.
2. The entity(ies) have undergone evaluation by the AGD of the history and reputation of the entity(ies) to assess any findings that might affect the collaboration and/or AGD members’ perception of the collaboration.
3. The entity(ies), collectively if more than one, must offer product(s) or program(s) that our members want and would consider a benefit to them.
4. All educational entities will be considered, including, but not limited to: corporate, profit, non-profit, individually owned, educational institutions.
5. Each entity will be requested to purchase, at no expense to the AGD, an exhibit booth at an AGD scientific session.

Characteristics of the educational programming

1. The educational programming must be congruent with AGD’s overall comprehensive educational strategic plan.
2. The educational programming will complement current AGD educational resources or extend AGD’s reach to its members and/or potential members or enhance AGD’s overall standing in the arena of Dental Education.
3. AGD members must benefit and find value from the relationship, as assessed by survey of AGD members participating in the programming.
4. The educational programming must give a distinct benefit to AGD members that is beyond merely benefit to members of the entity(ies).
5. The educational programming must not be solely limited to what is already offered to members of the entity(ies) without further benefit to AGD members.

Binding terms

Educational collaborations shall be implemented by agreement between the parties. Said agreement shall be memorialized in the form of binding terms captured in writing as either contract or memorandum of understanding whereby binding terms are expressly indicated as binding. The following criteria shall apply to said binding terms (the “contract”):

1. The contract should be for a term not to exceed two (2) years unless warranted to develop a successful collaboration as recommended by the DE Council and approved by the Board.
2. The contract shall not be evergreen, and shall not automatically renew upon expiration of the initial or any subsequent term.
3. The contract shall allow for renewal with the same or different terms, only upon the mutual agreement of all parties (or their assignees or delegatees, should the benefits and duties of said parties been legally assumed by said assignees or delegatees), and only to the extent that the sum of the initial term and all renewal terms does not exceed five (5) years whereby each renewal period has a term of one year.
4. The contract shall allow for either or any of the parties to terminate the contract without cause, without any termination fee, liquidated damages, or penalty to be paid by the terminating party, upon 30-days written notice to the other part(ies).
5. The contract shall set forth promotional requirements to meet the requirements of each party, including the responsibility of each party, the allocation of costs, and the timing of promotions. Subsequent revisions to said marketing terms should be reported immediately to the AGD Communications and Marketing Departments. All promotions shall require the approval of the AGD prior to implementation.
6. The contract shall expressly require that the AGD logo be included in all external communications by any party, related to the collaboration, including the educational programming.
7. The contract shall delineate ownership of intellectual property of each party, as well as of any other property, if applicable.
8. The contract shall not bind the AGD to collaborator exclusively with any entity(ies), and shall not limit the number of agreements, including collaborations, into which the AGD may enter except where it is in AGD’s best interest to agree to such exclusivities and limitations.

Process of review

Educational collaborations will be developed by the AGD Dental Education Council as follows:

1. The DE Council should be the entry place or clearinghouse for any potential educational collaborator coming to the AGD or for any educational collaborator that the AGD would consider reaching out to for an educational collaboration.
2. A subcommittee of the DE Council will be formed to look at each potential collaborator initially and assess its prospective value. The subcommittee will also look at the costs associated with that potential collaboration.
3. Once the above initial deliberation has been accomplished, the subcommittee shall share the opportunity with any council or committee that might need to have input. This will always include the PACE Council but will also include any other council which may be affected or have input to the particular agreement. The opportunity shall be shared concurrently with the Executive Committee (EC) for its input.
4. Because time is of the essence in the consideration of these opportunities, the DE subcommittee, through the DE Council Chair, will contact any and all other chairs of any council or committee that are impacted by this agreement and should have input along with input from the EC.
5. One week (7 calendar days) will be given for each such chairperson and the EC (by the president, for the body) to respond. In the event that any such chairperson is unavailable or fails to respond within one week (7 calendar days), the AGD President or council/committee chairperson shall assign another council/committee member to respond on behalf of that council/committee, and that other council/committee member shall have three (3) calendar days from the date she/he receives the request or the remainder of said week (7 calendar days), whichever is greater, to respond to the request of the DE Council Chair.
6. Negotiations for the prospective collaboration will proceed (with any additional information provided by those chairs or the EC) unless there is reason found through this process to terminate or alter them.
7. If the DE Council decides, through its due diligence, that an opportunity does not meet the criteria to be considered for an AGD educational collaboration and should not move forward, there will be no further negotiations and the collaboration will not be accepted.
8. Any and all final agreements will be routed through traditional contract review protocols following negotiations.
9. The AGD Board is the final deciding body for each such agreement.

If an educational collaboration opportunity fails to meet these guidelines, as determined by the DE Council after its exercise of due diligence, the collaboration will not be considered. No educational collaboration shall be considered unless it meets the approval of the DE Council and its subcommittee and of the AGD Executive Committee.

Approved 17-18 Board Meeting II

***Policy Type: V.*** *Board Guidelines*

## X. International Membership Opportunities

Guidelines for AGD International Membership Opportunities (IMO)

*Definitions*

**International Membership Opportunities**: A relationship between the AGD and another entity (including but not limited to official or unofficial groups or persons who desire to establish membership in the AGD are currently classified as international) for the purpose of facilitating, encouraging or recruiting international members

*Guidelines*

General considerations of International Membership Opportunities

* All AGD costs associated with the IMO should be considered in a business plan or the equivalent before moving forward.
* The business plan or its equivalent will be developed by staff and will include, but not be limited to, staff and marketing costs, and will consider that the initial investment may be higher than ongoing costs for IMO.
* The IMO must benefit the AGD and protect the AGD name and reputation.
* The IMO should consider mutual benefits and mutual liabilities of the parties.
* The IMO should generate dues revenue, sponsorship dollars, and/or royalties for the AGD. If the IMO is of a variety such that revenue may not be generated, such as strictly Continuing Education agreement, other benefits to the AGD or its constituents must be identified.
* The IMO shall not be to the detriment of and should benefit current and established IMO.

Process of review

IMO will be developed by the AGD Membership Council as follows:

1. The Membership Council should be the entry place or clearinghouse for any potential IMO coming to the AGD or for any International Organization that the AGD would consider reaching out to for an IMO.
2. A subcommittee of the Membership Council will be formed to look at each potential IMO initially and assess its prospective value. The subcommittee will also look at the costs associated with that potential IMO.
3. Once the above initial deliberation has been accomplished, the subcommittee shall share the opportunity with any council or committee that might need to have input. This will always include any other council which may be affected or have input to the particular IMO. The opportunity shall be shared concurrently with the Executive Committee (EC) for its input.
4. Because time is of the essence in the consideration of these opportunities, the Membership subcommittee, through the Membership Council Chair, will contact any and all other chairs of any council or committee that should have input and the EC.
5. One week (seven (7) calendar days) will be given for each such chairperson and the EC (by the President, for the body) to respond. In the event that any such chairperson is unavailable or fails to respond within one week (seven (7) calendar days), the AGD President or council/committee chairperson shall assign another council/committee member to respond on behalf of that council/committee, and that other council/committee member shall have three (3) calendar days from the date s/he receives the request or the remainder of said week (seven (7) calendar days), whichever is greater, to respond to the request of the Membership Council Chair.
6. Negotiations for the prospective IMO will proceed (with any additional information provided by those chairs or the EC) unless there is reason found through this process to terminate or alter them.
7. If the Membership Council decides, through its due diligence, that an opportunity does not meet the criteria to be considered for an AGD IMO and should not move forward, there will be no further negotiations and the sponsorship will not be accepted.
8. Any and all final agreements will be routed through traditional review protocols following negotiations when there is a cost associated with an IMO.
9. The AGD Board is the final deciding body for each such IMO.

If the IMO fails to meet these guidelines, as determined by the Membership Council after its exercise of due diligence, the IMO will not be considered. No IMO shall be considered unless it meets the approval of the Membership Council, its subcommittee, and the AGD Executive Committee.

Approved 2016-2017 Board Meeting III

***Policy Type: V.*** *Board Guidelines*

## Y. Minutes

1. Meeting minutes shall comport with the current AGD parliamentary authority as well as advice of outside general counsel, so that they only include:
2. Action items stemming from an AIR or resolution duly voted upon by the voting members of the Board;
3. Notice of any duly submitted reports from any Officer, Board member, staff, and agency of the AGD;
4. Administrative and Housekeeping details such as those in attendance, call to order, introductions, date/location/time;
5. Items required by HOD policy, including the roll call on all votes;
6. A summary of all reports presented at the meeting;
7. The Secretary shall take and retain notes on executive sessions. No executive session actions shall be reported, except when the Board so authorizes via a majority vote of the voting members of the Board to do so during the executive session.
8. Executive session minutes shall comport with the current AGD parliamentary authority as well as advice of outside general counsel, so that they only include:
9. Action items stemming from an AIR or resolution duly voted upon by the voting members of the Board not reported into the public minutes;
10. A summary of all reports presented during the executive session;
11. The secretary will project the completed executive session minutes to the Board at the next in-person/electronic Board meeting for approval.
12. Upon approval the recordings will be purged per Policy Type V, Section S of this manual.
13. The Secretary will maintain records of these minutes. The outgoing Secretary shall transmit to the incoming Secretary all notes and materials, that shall not have already been purged relative to Policy Type V, Section S of this manual.

Approved 2022-2023 Board Meeting II

***Policy Type: V.*** *Board Guidelines*

## Z. AGD Disaster Recovery Plan

**AGD Disaster Recovery Plan**

Adopted by Board, Board Zoom 12-15-20

**Monitoring:** Annually by Human Resources Staff

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**INTRODUCTION**

The aftermath of September 11, 2001, COVID-19 pandemic as well as geo-political conflicts, finds this millennium in anticipation of not only further acts of terrorism, but also epidemic or pandemic, and the pangs of climate change. Such concerns lie amidst the more ‘ordinary’ concerns of fires, accidents, and individual medical emergencies.

As the largest general dentistry organization in the world, and the voice of general dentistry, the Academy of General Dentistry (AGD) owes its staff, its members, and their patients, the ability to sustain in the face of exigent circumstances.

Therefore, the AGD hereby presents this Disaster Recovery Plan. Designed as a ‘grab-and-go’ document, the Handbook provides quick and easy directions and references to available resources for use by AGD staff or leadership in an emergency situation. The Handbook has been divided by type of emergency for ease of implementation.

***I. GENERAL PROTOCOLS***

The following are general protocols in any emergency to attain the specified results. Please note that some emergencies may render these protocols impracticable, in which case, please consult protocols for the specific emergencies listed beginning in section II.

**A. NOTIFICATION OF STAFF**

1. DURING OFFICE HOURS

To notify all staff, contact the Executive Director (ED) or her/his designee by the most expeditious means available. The Executive Director or her/his designee shall contact all staff via AGD’s e-mail system. If the nature of the emergency renders e-mail impracticable, the Executive Director or her/his designee shall contact their reports by the most expeditious and practical means, and the reports shall contact their reports, and so forth, along the chain of command.

1. BEFORE / AFTER OFFICE HOURS

To notify all staff, contact the Executive Director or her/his designee by the most expeditious means available. The Executive Director or her/his designee shall activate the staff emergency contact list. Each department director is responsible for:

1. Maintaining an updated staff emergency contact list for her/his department;
2. Contacting her/his staff immediately upon receiving notice of the emergency, and if leaving a voicemail, request that the staff return her/his call immediately and provide the staff with the emergency hotline [312.440.4050] as an alternate number;
3. Checking the emergency hotline for calls received from department staff; and
4. Contacting her/his superior within 15 minutes of receiving notice of the emergency to inform her/his superior of the status of her/his department’s staff that have or have not been contacted.
5. Maintaining a departmental operation manual on a remotely accessible server as recommended by AGD’s Information Technology department.

For notification of staff before or after office hours, please use the Staff Contact List.

**B. NECESSARY DOCUMENTATION AND SOFTWARE**

**Operations Manuals**

Each Departmental/Functional area is responsible for maintaining an operations manual. These operations manuals describe and document pertinent information for policies, procedures, workflow, contact information, or anything else deemed necessary knowledge in order to be able to successfully manage said department. Operations manuals are updated on a continual basis and reviewed annually by the responsible department. A copy of each operations manual is located on the AGD network.

**Data back-ups**

The AGD performs back-ups of its data network to the cloud in order to prevent the loss of electronic data. These disk drives are stored per policy as listed in the information technology (IT) department operations manual. In addition to storage and rotation information described in the IT operations manual the data is constantly streamed to a back-up device at our Internet providers local data center.

**C. EMERGENCY EQUIPMENT**

As of December 15, 2020, the following emergency equipment is available at the AGD:

**Fire Extinguisher** – There are fire extinguishers located throughout AGD’s space as noted:

7th Floor = 7 total

6th Floor = 5 total

1st Floor = 4 total

Basement = 8 total

**First Aid Kit** – 6th Floor reception + DE; 7th floor HR + Flex +1st floor reception

**Defibrillator** – 6th Floor hall; 7th floor color copier; 1st Floor kitchen

All AGD staff must be familiar with the use of a fire extinguisher and first aid kit. Training of selected staff on each floor on the use of a defibrillator is recommended annually.

As a reminder, remember that a cellphone might be the best equipment in an emergency.

**D. EVACUATION**

First and foremost, follow instructions provided by the Fire Department, Police Department, or other governmental authorities, or the floor’s Fire Captain.

**AGD Fire Safety Team Role Descriptions and Emergency Codes**

**Building Evacuation Preparedness**

According to the Municipal Code of Chicago, high-rise buildings (i.e., at least 80 feet above grade) must have a plan in place with designated personnel trained on emergency preparedness. The AGD Building is less than 80 feet above grade. However, the AGD has the following plan in place.

**AGD’s Fire / Life Safety Team includes:**

* Fire Safety Captain
* Floor Captain
* Team Captain
* Assistant Team Captain
* Search Monitors
* Elevator Monitor
* Stairwell Monitor
* Disabled Person Aid

**Duties of the Team:**

**Fire Safety Captain**

Secure fire safety evacuation training

Train Employee Evacuation Teams on floors

**Floor Captain**

Maintain up-to-date floor roster and report to lobby control

Evacuates ALL guest on respective floors

**Team Captain**

Assign employees to teams on floors

Are responsible for evacuating their respective floor areas

**Assistant Team Captain**

As assigned per Team Captain

**Search Monitors**

Conducts search of the entire floor including offices restrooms, conference rooms and storerooms

Closes each room that is searched, without locking it, and marks it with a post-it note

Evacuates non-employees on the floor

**Elevator Monitor**

Directs personnel to appropriate stairwell and away from elevators

Is familiar with evacuation plan and location of stairwells

**Stairwell Monitors**

Is designated at assigned stairwell door and inspects stairwell door for heat or smoke conditions

Directs people to proper safety floor

Encourages calmness and orderliness

**Assistant to the Disable**

Keeps list of physically challenged employees

Assists in evacuating physically challenged employees using the “buddy system”

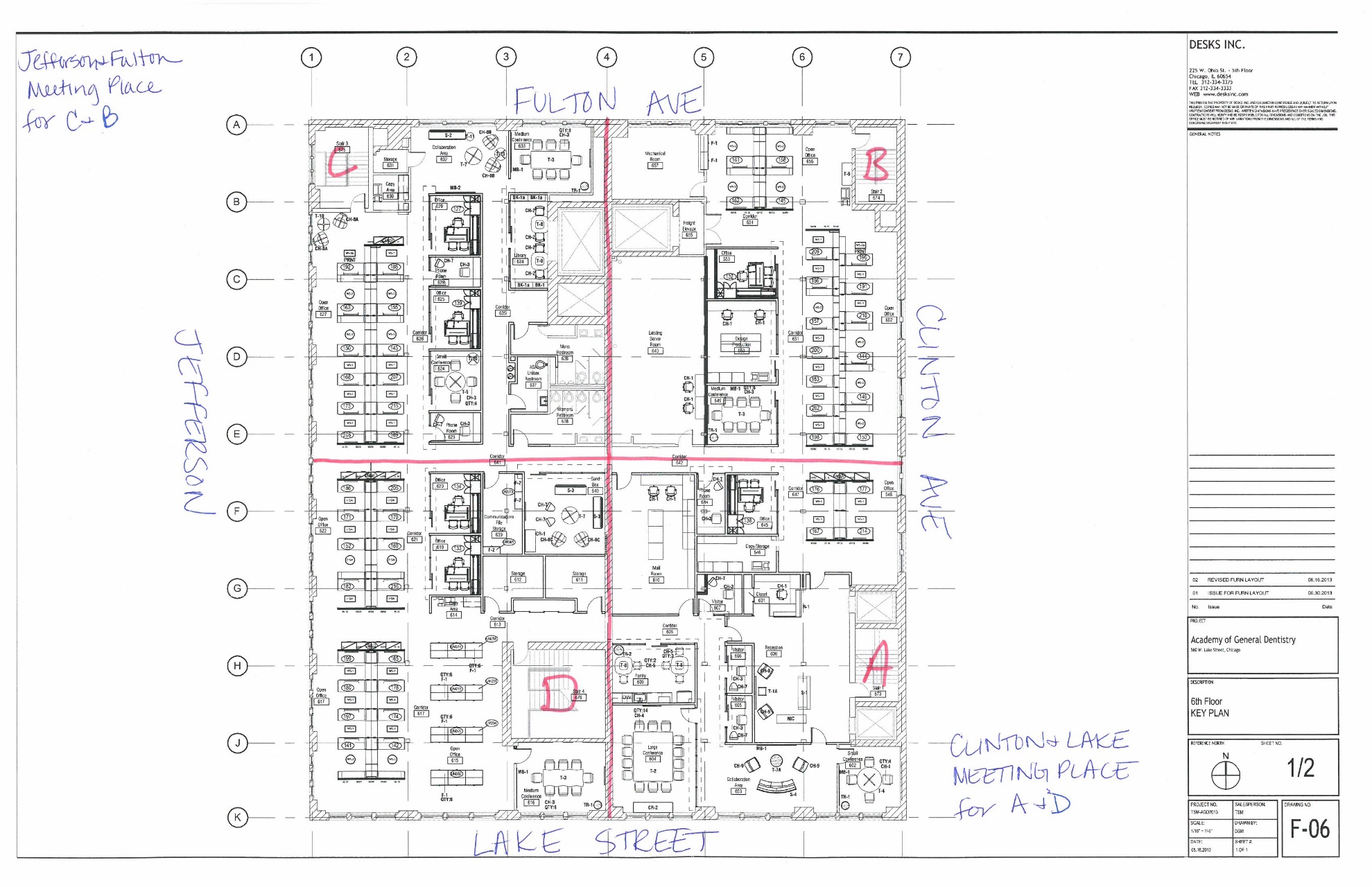
|  |  |  |
| --- | --- | --- |
| **Medical Emergency Codes** | | **Level of Emergency / Crisis** |
| **Color** |  |  |
| **Yellow** |  | **Individual Medical Attention** |
| **Brown** |  | **Brief Incapacitation - Multi Individuals** |
| Blue |  | CPR required ( Heart or Respiration Stops) |
| Red |  | Fire |
| Orange |  | Medical Lockdown |
| Silver |  | Weapon or **(Physical Destruction of Property)** |
| Grey |  | Combative, Hostile |
| Internal |  | Aggressive Staff |
| External |  | Aggressive Former Staff / Board Member |
| Clear |  | Emergency is over |
| Green |  | Evacuation **(Utility Failure, Electrical, Gas)** |
| Black |  | Bomb |
|  |  | **~~Financial Emergency~~** |
| Purple |  | **Electronic or Network Emergency** |
|  |  |  |

In order to ensure clear uninhibited entry for the Fire Department, or other authority, into the building, it is extremely important that all tenants evacuate in the precise manner and to the exact area designated by the floor Captain, or Fire Department

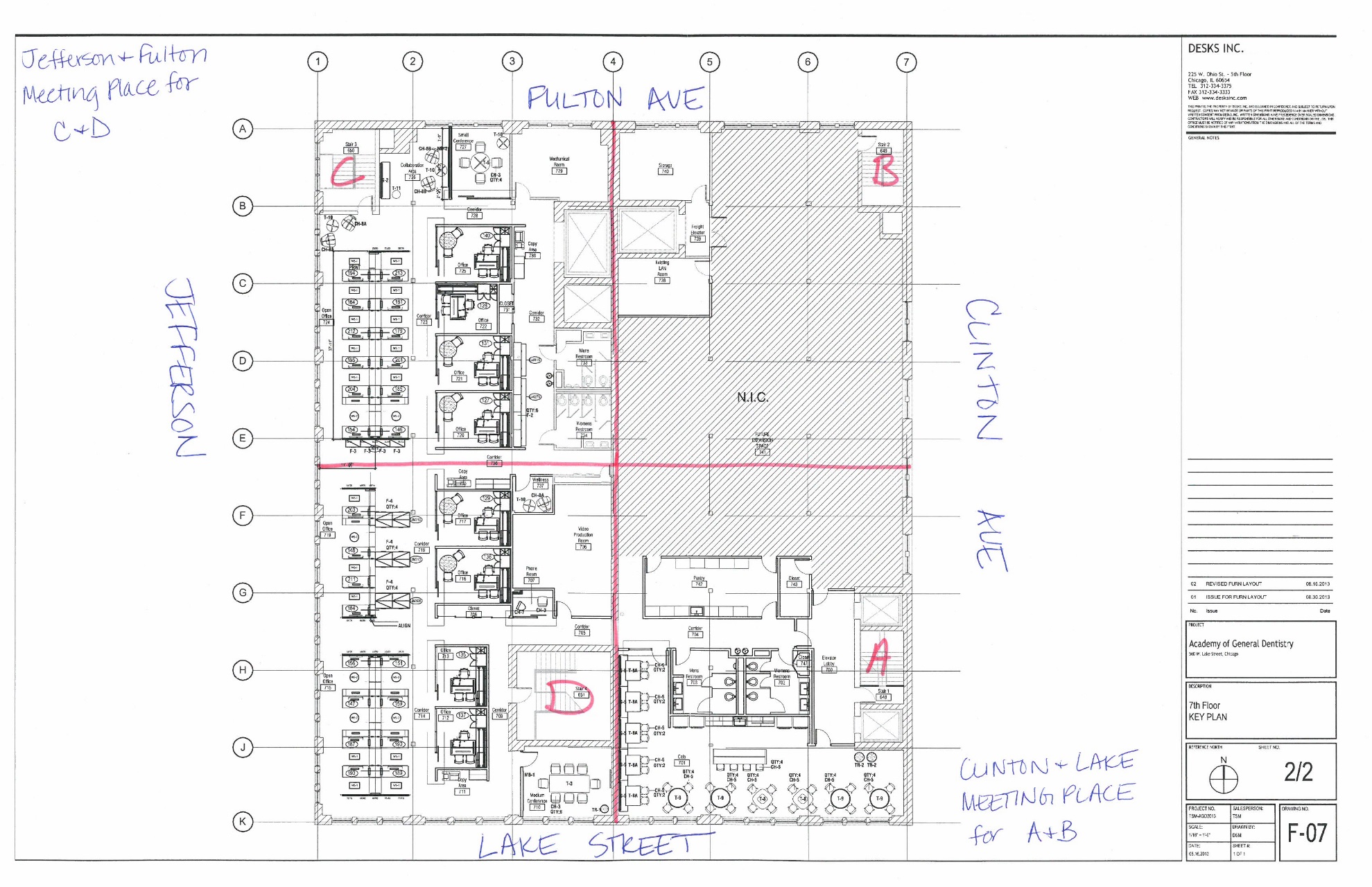
The following Disaster Drill (bomb threat) Evacuation Procedure provides a guideline for evacuation.

1. The 6th & 7th floors should be split into 2 groups
2. Evacuate on the right side of the stair well (in an emergency, the fire department will likely use the left side)
3. Evacuate to outside of building, then wait for security talk/timing.
4. Exit the building toward Clinton Street.

6th Floor Plan - Evacuation

****

7th Floor Plan – Evacuation

****

**E. EMERGENCY CONTACTS**

For emergencies, please call 911. Additional emergency contact numbers are provided in Appendix D.

**II. MEDICAL EMERGENCIES**

**A. INDIVIDUAL MEDICAL EMERGENCIES**

In the event of an accident or illness to an employee or visitor, try to ascertain as much information about the situation as possible.

1. Do not move the injured or ill person. Keep the person warm and comfortable
2. Call “911” to request an ambulance. Give the following information:
   1. Building address: 560 W. Lake Street
   2. Floor of the building and location of emergency on the floor
   3. Any details available about the accident or illness
   4. Injured or ill person’s name, if known

Additionally, the supervisor(s) of the injured or ill person(s) must notify Human Resources of the incident.

For particular medical emergencies such as stroke, heart attack, choking, or seizures, please refer to Appendix C.

**B. MEDICAL EMERGENCIES AFFECTING MULTIPLE PERSONS**

1. BRIEF INCAPACITATION / NON-EPIDEMIC ILLNESS OR INJURY

In the event of a situation where a large portion of staff are incapacitated for a short time, operations could continue with remaining staff. In the alternative, AGD, upon determination by the Executive Director, or an Associate Executive Director if the ED is incapacitated, and with ratification by the President or one of the president, president-elect and vice president, could shut AGD down for a short period of time such as 1-2 days. Beyond that, temporary staffing could be brought in until the incapacitated staff recover. For illness or injury that has affected all staff of a particular department, please refer to the respective department’s operations manual.

2. EPIDEMIC OR PANDEMIC ILLNESS / SERIOUS INCAPACITATION

*a. LEVEL 1 – NOTICE OF EPIDEMIC OR PANDEMIC*

Should the AGD be notified that a virus, for example, COVID-19, has mutated to become airborne and contagious between humans, this would constitute notice of an impending epidemic or pandemic. At this stage, the staff emergency preparedness task force shall closely monitor the progress of the epidemic and update staff and AGD leadership on its progress, and contact emergency and hospital personnel in the City of Chicago to inquire about recommended procedures for AGD staff and to implement these procedures among all staff.

i. Essential Services Operative

All operations shall continue as usual.

ii. Essential Services Limited

Where normal communication options, the AGD shall communicate by e-mail, telephone, the Internet or by postal service. For other services that may be specific to particular departments, such as meeting services, please consult the respective operations manual.

iii. Essential Services Inoperative

If one or more communications systems are inoperable, use should be made of the best remaining systems. For other services, consult with the applicable department’s operations manual.

*b. LEVEL 2 – INCIDENCE OF DISEASE IN LOCALE*

Mere incidence of disease in the locale (the greater Chicago metropolitan area) is sufficient to institute work from home list (Appendix B) on a voluntary basis. That is, those who need to, or out of fear, want to work from home, shall be permitted to do so in accordance with the work from home list without risk of penalty. The staff emergency preparedness task force shall closely monitor the progress of the epidemic or pandemic, and shall (remotely if needed) keep staff and AGD leadership informed of this progress.

i. Essential Services Operative

Services shall be continued, remotely if needed, to the extent possible and per the respective departments’ operations manuals. Postal service shall be continued as a secondary system. All staff shall have been cross-trained to accomplish services that require attendance at the AGD building, and upon notice of incidence of an epidemic in the locale, staff members that choose to come to the AGD building to accomplish necessary services shall subsequently be rewarded with benefits to be determined.

ii. Essential Services Limited

Means of communication such as facsimile, e-mail, telephone, and the Internet shall be utilized. Postal services are secondary and shall be continued from either an AGD constituent’s offices or from the home of designated staff as appropriate. All staff shall have been cross-trained to accomplish services that require attendance at the AGD building, and upon notice of incidence of an epidemic in the locale, staff members that choose to come to the AGD building to accomplish necessary services shall subsequently be rewarded with benefits to be determined. For limitations to other services, such as meeting services, please refer to the respective department’s operation manual.

iii. Essential Services Inoperative

Should essential services such as e-mail, telephone, and the Internet or even postal services, cease to operate, communicate with any available service. For other services, consult with the applicable department’s operations manual. With essential services non-operative, the duties that could require attendance at the AGD would be Office Services, Finance and Information Technology and these duties may be waived by the Executive Director depending upon the extent of the epidemic within the locale.

*c. LEVEL 3 – INCIDENCE OF DISEASE IN THE BUILDING*

Institution of the work from home list is mandatory! Unless absolutely necessary, no staff shall be permitted to enter the AGD building. The staff emergency preparedness task force shall contact HSA at (312) 458-4343, and update all staff via remote communications, once the infected individual(s) have been removed, and the building has been determined to be safe.

i. Essential Services Operative

Services shall be continued remotely to the extent possible and per the respective departments’ operations manuals. If applicable, postal service may continue from an AGD constituent office.

ii. Essential Services Limited

Remotely implement communication methods, such as facsimile, e-mail, telephone, and the Internet, to supplement communications where postal services are unavailable. Other services shall be continued remotely to the extent possible and per the respective departments’ operations manuals.

iii. Essential Services Inoperative

Remotely implement communication methods, such as facsimile, e-mail, telephone, and the Internet. Other services shall be continued remotely to the extent possible and per the respective departments’ operations manuals.

*d. LEVEL 4 – INCIDENCE OF DISEASE IN AGD STAFF*

Institution of the work from home list is mandatory! Unless absolutely necessary as determined by the Executive Director or her/his designee, no staff shall be permitted to enter the AGD building. Infected staff shall be required to refrain from entering the building. All operations shall continue remotely to the extent possible. The tasks of staff who are unable to perform their job duties due to illness shall be assumed by the colleagues or supervisors of such staff, and this assumption of duties shall be dictated by the respective departments’ operations manuals.

i. Essential Services Operative

If, due to illness, Office Services is unable to implement general services, such as mailings, the Executive Director shall either implement these services or delegate the implementation of these services to constituent offices or to appropriate agencies (to be determined). Other services (including postal) shall be continued remotely to the extent possible and per the respective departments’ operations manuals.

ii. Essential Services Limited

Remotely implement communication methods, such as facsimile, e-mail, telephone, and the Internet, to supplement communications where postal services are unavailable. If, due to illness, Office Services is unable to implement general services, such as mailings, the Executive Director shall either implement these services or delegate the implementation of these services to constituent offices or to appropriate agencies (to be determined). The duties of staff to communicate electronically or telephonically in the absence of postal services, shall be assumed by colleagues or supervisors within the staff’s department, should the staff be unable to implement such communications due to illness. Should an entire department be unable to perform its duties to communicate electronically or telephonically with members or other parties, the Director of Information Technology shall assume these duties to the best of his or her ability, or Executive Director shall delegate these duties through constituent offices or through other agencies. Other services shall be continued remotely to the extent possible and per the respective departments’ operations manuals.

iii. Essential Services Inoperative

Remotely implement communication methods, such as facsimile, e-mail, telephone, and the Internet. The duties of staff to communicate electronically or telephonically in the absence of postal services, shall be assumed by colleagues or supervisors within the staff’s department, should the staff be unable to implement such communications due to illness. Should an entire department be unable to perform its duties to communicate electronically or telephonically with members or other parties, the Executive Director shall delegate these duties through constituent offices or through other agencies. Other services shall be continued remotely to the extent possible and per the respective departments’ operations manuals.

*e. LEVEL 5 – SUBSTANTIAL PROLIFERATION OF DISEASE*

Substantial proliferation of disease refers to nearly complete or complete transmission of disease to all AGD staff, essentially incapacitating staff. The Executive Director, if able, or an Associate Executive Director or CFO, or other designee, if the Executive Director is unable, shall 1) contact the AGD’s volunteer leaders, 2) determine if the AGD offices should be closed, and 3) determine if AGD’s operations should cease. If all of AGD staff has been indisposed, follow Section VI of this Handbook.

**III. NUCLEAR, BIOLOGICAL, OR CHEMICAL (NBC) EVENT**

In the event of a Nuclear, Biological or Chemical (NBC) event, or suspicion of an NBC event, staff should contact the Executive Director or her/his designee. The Executive Director or her/his designee should call 911 upon suspicion of an NBC event.

Additionally, the Executive Director or her/his designee may contact the appropriate authorities, such as the City of Chicago, Illinois National Guard, or the U.S. Department of Homeland Security, to notify them of the event and request appropriate decontamination measures.

For the purpose of containment, transportation of staff is not recommended unless approved by aforementioned authorities, or the police or fire department, or necessary to remove staff from new and imminent harm.

**IV. STRUCTURAL OR SPATIAL INCIDENTS**

**A. PHYSICAL DESTRUCTION OF AGD OFFICE SPACE (OR THREAT THEREOF)**

1. STAFF SECURITY AND RECONNAISSANCE

*a. STAFF COUNT*

Please apply the procedures of section I.A. of this Handbook for notification of staff during office hours and after / before office hours.

If destruction of the AGD office space occurs during office hours, relocate or evacuate to a safe place before attempting to contact other staff.

Should access to e-mail be restricted due to the effects of destruction, then use a telephone and the staff contact list.

*b. STAFF EVACUATION PLAN*

First and foremost, follow instructions provided by the Fire Department, Police Department, or other governmental authorities, or the floor’s Fire Captain.

However, in the event of physical destruction of the building, or impending physical destruction of the building, the entire building may be evacuated.

In order to ensure clear uninhibited entry for the Fire Department, or other authority, into the building, it is extremely important that all tenants evacuate in the precise manner and to the exact area designated by the floor Captain, or Fire Department

The following Disaster Drill (bomb threat) Evacuation Procedure provides a guideline for evacuation.

1. The 6th & 7th floors should be split into 2 groups
2. Evacuate on the right side of the stair well (in an emergency, the fire dept will likely use the left side)
3. Evacuate to the street, then wait for security talk/timing.
4. Do not use the elevators
5. Exit the building and to Clinton Street

*c. STAFF FIRST AID AND RECONNAISSANCE*

All staff members must follow the instructions of the fire department, or other governmental authority. If a staff member is injured or immobile, and in imminent danger of new harm, and you are able to relocate the staff member without exposing yourself to the same imminent harm, then do so. Otherwise, do not attempt to move any injured persons. **Inform officials from the fire department, or other governmental authority, who are in or around the building, of the location, and if known, name, of injured persons.**

Additionally, if permitted by the fire department, or present governmental authority, a staff Emergency Reconnaissance Team comprised of AGD staff, may enter the AGD offices to search for staff as follows.

* Search an office/room, and once a search is complete, close the office/room door and use a sticker to mark work area searched as, “CLEAR.”
* Different searchers should be trained to search at different levels of a room
* Team members should never use the elevators
* Team members should use the exit nearest to them during a disaster

2. OPERATIONS SECURITY AND RESTORATION

The Executive Director or her/his designee shall determine if operations may continue from the AGD offices, or if alternative sites or mechanisms need to be activated. Should the Executive Director or her/his designee determine that alternative sites or mechanisms need to be activated for the continued operations of the AGD, then he or she shall consult the Roster of Emergency Operations Resources to contact organizations such as consulting companies or staffing companies for assistance. Additionally, consult each department’s Operations Manuals and institute work from home policies per Appendix B.

**Roster of Emergency Operations Resources**

**Commuter Resources**

**Transportation**

|  |  |  |  |
| --- | --- | --- | --- |
| **Mode:** | **Line:** | **Location:** | **Fare:** |
| **Train** | CTA – Green / Pink | Clinton / Lake |  |
|  |  |  |  |
| **Metra** | Metra – Ogilvie Transportation Center (UP-N, UP-NW, UP-W) | Washington (Clinton / Canal) |  |
|  | Metra – Millennium Station (ME) | Michigan / Randolph |  |
|  | Metra – Union Station (BNSF, HC, MD-N, MD-W, NCS, SWS) | Canal (Clinton / Jackson/ Adams) |  |
|  |  |  |  |
| **Bus** | # 56 Desplaines / # 120 Canal / # 56 Jefferson | Desplaines / Lake / Jefferson |  |
|  |  |  |  |
| **Other** | Taxi |  |  |
|  | Uber |  |  |
|  | Lyft- |  |  |
|  |  |  |  |
| **Driving** | 290 – Eisenhower Expy | Merges West from 90/94 |  |
|  | 90 /94 – Kennedy Expy | West on Lake Approx 3 blocks |  |
|  | 90 – Dan Ryan Expy | Merges South from 90/94 |  |

**Medical Resources**

**Medical (Urgent Care)**

* Urgent Care – Access Community Health Network (Corporate Office) – 1817 S. Loomis Street – 312-666-6511
* Minute Clinic – 344 W Hubbard St (Inside of CVS) – 312-222-2570
* Concentra Urgent Care – 1230 W Lake St – 312-666-0028
* One Medical – 181 W Madison #3825 – 312-219-2230
* One Medical – 415 N LaSalle #100 – 312-219-2231
* Union Health Service Medical Center – 1634 W Polk – 312-423-4200

**Medical (Hospitals)**

* Northwestern Memorial Hospital – 251 E Huron – 312-926-2000
* Chicago Lakeshore Hospital Lakeshore Center for Behavioral Health – 737 N Michigan – 312-257-2985
* Rush University Medical Center – 1653 W Congress Pkwy – 888-352-7874
* John H Stroger, Jr. Hospital Cook County – 1969 Ogden Ave – 312-864-6000

**Emergency Services (Non- emergencies)**

* Dist 12 Chicago Police – 1412 S Blue Island – 312-746-8396
* Police Department – 121 N LaSalle Dr
* Police Department – 1160 N Larrabee – 312-742-5870
* Cook County Sheriff’s Office – 50 W Washington – 312-603-6444
* Dist 1 Headquarter Chicago Fire Department – 55 W Illinois – 312-744-5742
* Chicago Fire Department – 324 S Desplaines – 312-745-3705
* City Hall – 121 N LaSalle Drive -312-744-5000
* James R Thompson Center – 100 W Randolph – 312-814-6660
* Chicago Department of Transportation – 30 North LaSalle # 1100 – 312-744-3600
* Post Office – 168 N. Clinton

**Covid Testing**

* Physicians Immediate Care · 600 W Adams St · (312) 506-0900
* Midwest Express Clinic · 779 W Adams St · (312) 752-4466
* Midwest Express Clinic · 219 W Chicago Ave · (312) 878-1945
* Cedar Crosse Research Center Medical clinic · 800 S Wells St Suite M15 · (312) 431-6780
* One Medical Fulton Market Medical clinic · 218 N Elizabeth St
* Rush University Medical Center Hospital · 1620 W Harrison St · (312) 942-5000

**Other Resources**

**Churches / Synagogue**

* Church of the Ascension – 1133 N LaSalle –
* First United Methodist – 77 W Washington –
* St Peter’s Catholic Church – 110 W Madison -
* Chicago Loop Synagogue – 16 S Clark -
* Central Synagogue of Chicago – 122 S Michigan –

**Grocery / Drug Stores**

* Jewel – Osco – 370 N. Desplaines
* Whole Foods Market – 1 N. Halsted
* Mariano’s Fresh Market – 40 S Halsted
* CVS – 101 N Clinton
* Walgreens – 111 S. Halsted

**Hotels**

* Hampton Chicago Downtown West – 116 N. Jefferson – 312-648-0000
* Homewood Suites Chicago Downtown West – 118 N. Jefferson – 312-930-000

**B. TERRORIST ATTACK (OR THREAT THEREOF) UPON THE CITY OF CHICAGO, ITS VICINITY, OR OTHER CITIES GIVING RISE TO AN EXPECTATION OF THE SAME IN THE CITY OF CHICAGO (BUT WITHOUT ACTUAL EVENT AT THE AGD BUILDING)**

1. DETERMINATION OF OFFICE CLOSURE AND STAFF SAFETY

The Executive Director or her/his designee shall consult with HSA, and building protocols. Additionally, the Executive Director or her/his designee is encouraged to consult with the Head of Human Resources. Based upon these consultations and judgment, the Executive Director or her/his designee shall determine whether to close the AGD offices and institute work from home measures in accordance with the work from home list (Appendix B).

2. DETERMINATION OF OPERATIONS

The Executive Director or her/his designee shall make the determination as to whether operations may continue from the AGD offices. While it would be unlikely that operations would be moved if the AGD offices have not had any actual event, it is the responsibility of the Executive Director or her/his designee, the Associate Executive Directors, the Vice President, Finance, and the Department Directors to consult the operations manuals in preparation for off-site continuity of operations.

**C. TEMPORARY UNAVAILABILITY OF AGD OFFICES**

1. IN-OFFICE HAZARDOUS CONDITIONS (CHEMICAL SPILL, ETC.)

Contact HSA (312) 683-7221.

Staff shall be notified in accordance with the procedures for notification of staff provided herein.

Should staff evacuation be deemed necessary by the fire department, or the Executive Director or her/his designee, then follow the procedures provided herein.

The Executive Director or her/his designee shall determine if the work from home list should be activated and if operations should be transferred.

2. FIRE

In the event of a fire, call 911. In the event of a threat of fire, notify the Executive Director or her/his designee immediately.

In the event of a fire, the fire department along with the Fire team members shall coordinate the evacuation of staff members. *See* evacuation procedures at section I.D. herein.

The Executive Director or her/his designee shall determine if the work from home list should be activated and if operations should be transferred.

3. WEATHER

Notify staff of inclement or exigent weather (such as an unlikely tornado in the City of Chicago) in accordance with the procedures provided in section I.A. herein.

The Executive Director or her/his designee shall determine if the work from home list should be activated and if operations should be transferred.

**V. OTHER EMERGENCIES**

**A. SHOOTING, HOSTAGE SITUATION, OR OTHER ONGOING CRIMINAL ACTIVITY**

Follow the following procedures:

1. Call 911 if possible

2. Barricade yourself somewhere if applicable

3. Do not leave your office until notified by authorities

**B. EMERGENCY CAUSED BY UTILITY FAILURE (ELECTRICAL EVENT, GAS LEAK, ETC.)**

Contact the Head of Human Resources or the CFO. They shall contact the building or other necessary services.

If evacuating the building, follow the instructions provided herein at section I.D.

**C. ELECTRONIC OR NETWORK EMERGENCY (COMPUTER VIRUS, ETC.)**

Inform the Director of Information Technology or his/her designee. The Director of IT or his/her designee shall contact staff as necessary.

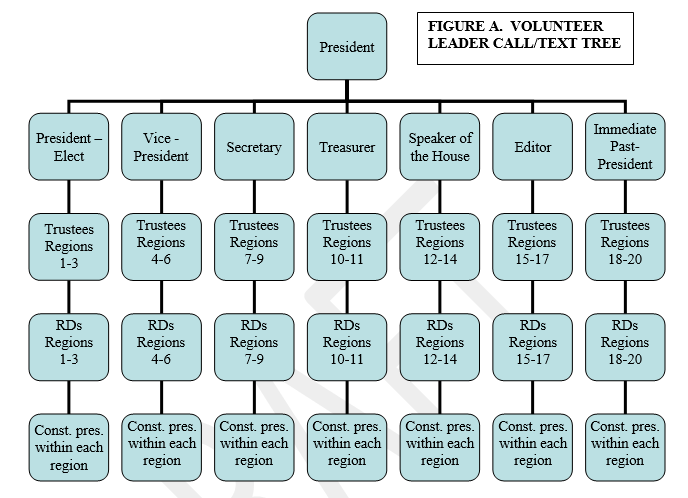
**D. FINANCIAL EMERGENCY (BREACH OF ACCESS, ETC.)**

The discovery of a financial emergency should be immediately reported to the Executive Director and/or the Vice President, Finance. In the event that the Executive Director and/or Vice President, Finance are parties to the emergency, an immediate report should be made to the chairperson of the AGD Audit Committee. In all cases, refer to the Charge of the Audit Committee (Appendix E).

**VI. DISASTERS RESULTING IN THE COMPLETE DECIMATION OR UNAVAILABILITY OF AGD STAFF**

If neither the Head of Human Resources nor the Executive Director nor her/his designee, can be reached, then the building management shall contact the President of the AGD or his/her designee in the event of an incident resulting in the complete decimation or unavailability of AGD office staff. In the absence of the President and his/her express designation of a designee, the designee shall be the AGD Officer who is next in the line of succession to the presidency in accordance with AGD Bylaws.

Upon receiving notice of the incident, the President or his/her designee shall use available communications to contact the other officers, trustees, regional directors, and constituents’ presidents. The President or his/ her designee shall continue to update these volunteer leaders of the status of the incident if on-going. Note that it shall be impracticable to redirect all incoming calls from the AGD to the President because the AGD main office presently receives an averages 250 calls per day. One potential option would be to either temporarily or permanently engage an association management company. These AMCs can be readily identified through an internet search.



**VII. DISASTERS AFFECTING AGD’S LEADERSHIP**

Board meetings could place the AGD’s leadership structure at risk, since the Executive Committee, the Trustees, the Executive Director, and key staff directors would all be in one physical location.  Annual Meetings and the Scientific Sessions present an even greater risk to the larger governance structure of the AGD.

In the event that a disaster at a Board meeting, Scientific Session or an Annual Meeting destroys all or a significant number of the AGD’s top leaders, the AGD should replace its leadership structure as follows:

* If the entire Board were eliminated in a disaster, protocols are in place for the election of Trustees (and Regional Directors, if they were also affected).  Regions would need to appoint temporary representatives and hold elections as quickly as possible to fill the vacant slots.
* In the event that the Executive Committee is suddenly eliminated, the Trustees should form a Nominating Committee to identify qualified individuals and elect another set of officers until elections can be held at the next Annual Meeting.  Candidates’ campaign materials could be posted to the AGD web site in the Members Only section, and grassroots members could be asked to contact their Trustees with their input regarding the election.
* Once the officers have been selected, the *Process for Hiring an Executive Director* would govern the process for hiring the new chief executive, if needed.
* If the Executive Committee, Trustees, and Executive Director are all eliminated in a disaster, then the organization should begin by replacing its volunteer leadership structure so that the new officers can fill their designated roles in hiring the new Executive Director.  Based on the protocol in the Constitution and Bylaws, the Regional Directors would step in immediately to fill the vacant Trustee offices until elections could be held by the regions.  As soon as possible, this new group of Trustees should form a Nominating Committee to identify qualified individuals and elect a new set of officers, with input from grassroots members via the web site as previously discussed.  Once the Executive Committee is in place, then the officers should follow the *Process for Hiring an Executive Director* to select the next chief executive.

As a safeguard, the Executive Director will determine a lengthy order of succession for staff members to run the Chicago office in the event of a disaster, which will be maintained by the Human Resources department and provided to both the Executive Committee and the Executive Staff on an annual basis.

**CONCLUSION**

Disaster is inevitable. It is those organizations that prepare for disaster that survive in the aftermath. As the largest organization for general dentistry in the world, we owe it, not only to our staff, but also to our members and to their patients, to survive, and if possible, thrive. Successful implementation of this Handbook shall require staff dedication to periodic testing and revision, and communication with volunteer leaders to ensure their awareness of the provisions of the Handbook. Regardless of whether the inevitable emergency affects one or all, this Handbook ensures that we work together as one team, and one voice, the voice of general dentistry, to ensure the survival of our staff and the AGD.

***Policy Type: V.*** *Board Guidelines*

## AA. Communication

**All communications and work by the Board, RDs, councils, committees and all other work groups must take place on officially approved AGD platforms.**

**Approved 2022-2023 Board Meeting II**

# *Policy Type: VI. Board Guidelines*

**A. Convocation Waiver Guidelines**

Guidelines for Granting Waivers of Attendance for Convocation

Upon approval by the chair of the Dental Education Council, an award candidate may be excused from attending the Convocation and awarded the Fellowship or Mastership in absentia for any of the following reasons:

1. Medically confirmed disability;
2. Illness so severe as to prevent an individual from even planning to attend the Convocation ceremony as much as 30 days in advance;
3. Sudden illness that occurs within 30 days of the Convocation ceremony, and makes it impossible for the individual to attend the Convocation ceremony;
4. Death within the immediate family which makes it impossible for the member to attend the Convocation ceremony;
5. Sudden illness in the immediate family which makes it impossible for the member to attend the Convocation ceremony;
6. Military orders which would prevent the member from attending the Convocation ceremony;
7. Long-standing professional commitments outside of the country which would prevent the member from attending the Convocation ceremony, as long as the commitments were not made as conscious alternatives to attendance at the Convocation;
8. Unusual personal or business circumstances resulting from natural disaster or accident that would make it unreasonable to expect the member to attend the Convocation ceremony;
9. Religious restrictions of observances that would prevent the member from attending or participating in the Convocation ceremony.

If an award candidate does not qualify under these guidelines, and they cannot or do not wish to attend the Convocation ceremony, they will be allowed to postpone attendance at convocation until either the second or third Convocation ceremony following approval of their award application.

***Policy Type: VI.*** *Board Guidelines*

**B. Complimentary Scientific Session Registration**

Resolved that the President receives up to six free tickets for the main social event at the scientific session.

Approved 2009 Board Meeting IV

Resolved, that the Scientific Meeting Council have all registration fees and President’s Dinner fee waived during their years in service for scientific sessions due to their extensive responsibilities onsite.

And be it further,

Resolved, that the AGD Executive Committee have all fees waived for the scientific session registration, convocation attendance, and their main social event ticket, during their years of service due to their extensive responsibilities onsite.

Approved 2012 Board Meeting III

***Policy Type: VI.*** *Board Guidelines*

**C. Protocol for Approving Amendments to BPM**

Resolved, that no one is authorized to change, edit, amend, add to or subtract from the AGD Board Policy Manual without full disclosure to the Board that changes are suggested, and be it further,

Resolved, that there be a discussion by the Board on the proposal, precluding any such amendments from passage on consent, and a vote by the voting members of the Board authorizing any changes, and be it further,

Resolved, that such proposed changes be presented in an AIR in such format that changes indicate in the amended document with the previous area struck through, the new language underlined and for large changes, a notation including the date be added after that section of the Policy Manual stating that an update had occurred. Minor edits and housekeeping changes may be moved by any Board member during discussion of the Policy Manual.

Approved: 2022-2023 Board Meeting II

***Policy Type: VI.*** *Board Guidelines*

**D. Scientific Session Schedule Approval**

The Scientific Meetings Council Chair, Dental Education Council Chair, and President will have the authority to approve the schedule for the scientific session.

Approved 2016-2017 Board Meeting III

***Policy Type: VI.*** *Board Guidelines*

**E. Scientific Session Refunds**

AGD member and non-member dentist registrants who purchase registration and/or tickets for the Scientific Session may obtain a refund of that purchase, less a processing fee, up to 30 days before the first day of the Session. AGD member dentist registrant refund requests will incur a $50 processing fee. Other paid attendee category registrant refund requests will incur a $15 processing fee. Requests received less than 30 days before the first day of the Session will not be eligible for a credit or refund.

Monitoring: Review by Board annually in April

Approved 2017-2018 Board Meeting V