

## **NCCI Policies**

**Adopted by the Board of Directors  
October 2016**

### **Purpose**

The purpose of NCCI Policies is to provide additional guidance and detail regarding the provisions of the Bylaws. Policy may be waived by a two-thirds vote of the Board of Directors.

### **Membership**

Membership is available to all institutions of higher education as well as other not-for-profit organizations that work in support of higher education. These organizations must share the common goals and mission of NCCI. All faculty and staff at member institutions are entitled to NCCI member benefits. In addition, the Board of Directors may consider applications for individual membership at a reduced dues rate for those who are affiliated with an institution of higher education that will not become an institutional member. To be eligible to join NCCI, institutional members must complete an application and select the enrollment range tied to the annual dues structure. The Board may delegate the review of applications to the staff, which will provide a list of new members at regular intervals to the Board. Members must pay annual dues within the period established by the Board to remain in good standing. The Board may also approve dues rates for individual/affiliate members, as permitted in the Bylaws. Individual/Affiliate members must meet membership eligibility requirements as outlined in Bylaw and Policy and must certify that their institution or organization will not pay the Institutional dues rate. Applications for Individual/Affiliate members are subject to review and approval by the Executive Committee and must be renewed each year.

### **Nominations and Elections**

The Board of Directors shall appoint a Nominations Committee each year. The Nominations Committee shall be chaired by the Secretary and shall typically include the Immediate Past President (if this position is on the Board) and at least one Board member. Other Board members may be appointed to this committee as needed. The committee shall be charged with disseminating to the membership a Call for Nominations, vetting prospective candidates for the Board, and preparing a slate of candidates for approval by the Board to be considered for election by the membership. An election shall be held by the Board no more than 60 days prior to the Annual Business Meeting and candidates shall be approved for a vote at the Annual Business Meeting. Board member terms begin upon election by the membership.

### **Meetings of the Board of Directors**

The Board of Directors shall meet bi-monthly in the months of September, November, January, March, May and July. Special meetings may be called by the President with the concurrence of the Officers. Notice shall be given to the Board of at least three days and an agenda will be provided in advance to the Board. The three-day requirement may be waived in the event of an emergency. At least one Board meeting per year shall be an in-person meeting held at the Annual Conference. Board members or their institutions are responsible for travel expenses related to attending Board meetings.

Board members shall be expected to participate in all Board meetings unless there is a conflict with professional duties. Board members shall not miss more than three Board meetings per year.

### **Duties of Board members**

The following are the general duties and responsibilities of Board members:

- Support the Mission, Goals, and Strategic Plan of NCCI.
- Participate in periodic reviews of the Strategic Plan, Mission and Goals.
- Attend Board meetings and conference calls and actively participate and discussions and decision making.
- Fulfill the fiduciary responsibilities of fiduciary duties: duty of care, duty of loyalty, and duty of obedience.
- Review and understand the Financial Statements disseminated to the Board; act as a responsible steward of the Association's fiscal and human resources.
- Ensure adequate resources are provided to fulfill NCCI's mission and goals.
- Serve on or lead at least one committee or task force.
- Avoid conflicts of interest, and the appearance of a conflict of interest.
- Participate in the Annual Conference and other meetings.
- Be knowledgeable about the Association's history, mission, goals and bylaws.
- Promote the association with members and other organizations.
- Monitor and oversee programs and services.

### **Duties of Officers**

- Provide leadership and direction to the Board to ensure it meets its responsibilities.
- Oversee the planning and goal-setting process each year to ensure that the committees work in support of NCCI's goals.
- Monitor and provide oversight of the budget and financial management. Ensure effective stewardship of NCCI's resources.
- Hire and evaluate the performance of the Executive Director.
- Monitor membership recruitment and retention to promote the growth of the Association.
- Monitor the quality of programs and services to make sure these align with the interests of members and there is member satisfaction with programs and services.
- Provide leadership and direction to the committees and task forces.
- Appoint committee and task force chairs (President)
- Evaluate new opportunities for NCCI.
- Manage and oversee the NCCI Sponsorship Program (President-Elect).
- Lead and manage the Strategic Planning process.
- Act as Chief Spokesperson for NCCI (President or designee)
- Conduct research on emerging issues to prepare them for presentation to the Board.

### **Committees**

Committees assist the Board in fulfilling the mission and goals of the Association. The Board may create committees and task forces from time to time. The President in consultation with the Executive Committee shall select Chairs and members of committees and task forces. Individuals must be NCCI members in good standing to Chair or to serve on committees or task forces. Exceptions must be approved in advance by the President. A review of committee effectiveness and relevance shall be conducted by the Officers on a regular basis and the Board reserves the right to abolish committees that are not needed.

**Communities of Practice/Discovery/Other Groups**

The Communities of Practice/Discovery provide networking opportunities to NCCI members. The Professional Development Committee may create and dissolve Communities from time to time based on member needs. Individuals must be NCCI members in good standing to lead or participate on Communities of Practice/Discovery. Exceptions must be approved in advance by the President.

**Conflict of Interest Policy**

**CONFLICT OF INTEREST STATEMENT**

To the NCCI Executive Team and Board:

This is to certify that I, except as described below, am not now, nor at any time during the past year, have been:

- 1) A participant, directly or indirectly, in any arrangement, agreement, investment or other activity with any vendor, supplier or other party doing business with NCCI, which has resulted or could result in personal benefit to me.
- 2) A recipient, directly or indirectly, of any salary payments or loans or gifts of any kind or any free service or discounts or other fees from or on behalf of any person or organization engaged in any transaction with NCCI.

Any exceptions to 1 or 2 above are stated with a full description of the transactions and of the interest, whether direct or indirect, which I have (or have had during the past year) in the persons or organizations, so noted, as follows:

**DATE:** \_\_\_\_\_

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

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

**Joint Venture Policy**

**Article I Purpose**

The purpose of this joint venture policy is to protect NCCI (hereinafter referred to as the "Organization") interest when it is contemplating entering into a contract, investment, venture or arrangement with a taxable entity (an entity subject to federal income tax). This policy is intended to supplement but not replace the Organization's conflict of interest policy or any applicable state and federal laws governing conflict of interest applicable to nonprofit organizations.

This policy requires that the Organization evaluate its participation in joint venture arrangements under applicable federal tax law and take steps to safeguard its exempt status with respect to such arrangements. It applies to any joint ownership or contractual arrangement through which there is an agreement to jointly undertake a specific business activity, investment, or exempt-purpose activity as further defined in Article II of this policy.

**Article II Definitions**

1. Joint ventures or similar arrangements with taxable entities. For purposes of this policy, a joint venture or similar arrangement (or a “venture or arrangement”) means any joint ownership or contractual arrangement through which there is an agreement to jointly undertake a specific business enterprise, investment, or exempt-purpose activity without regard to: (1) whether the Organization controls the venture or arrangement; (2) the legal structure of the venture or arrangement; or (3) whether the venture or arrangement is taxed as a partnership or as an association or corporation for federal income tax purposes.

2. Disregarded ventures or arrangements. A venture or arrangement is disregarded if it meets both of the following conditions:

(a) 95% or more of the venture’s or arrangement’s income for its tax year ending within our tax year is excluded from unrelated business income taxation under Section 512(b)(1)-(5) of the Internal Revenue Code (including but not limited to: (i) dividends, interest, and annuities; (ii) royalties; (iii) rent from real property and incidental related personal property except to the extent of debt-financing; and (iv) gains or losses from the sale of property); and

(b) the primary purpose of the Organization’s contribution to, or investment or participation in, the venture or arrangement is the production of income or appreciation of property.

### Article III

#### Procedures

1. Negotiation of joint ventures or arrangements. The Organization will: (a) negotiate transactions and arrangements with other members of the venture or arrangement such terms and safeguards adequate to ensure that the Organization’s federal tax exempt status is protected; and (b) take steps to safeguard the Organization’s federal tax exempt status with respect to the venture or arrangement.

2. Safeguards to ensure exempt status protection. Examples of safeguards the Organization should consider, but are not limited to:

(i) control over the venture or arrangement sufficient to ensure that it furthers the exempt purpose of the Organization;

(ii) explicit requirements that the venture or arrangement give priority to exempt purposes over maximizing profits for the other participants;

(iii) explicit language in any agreement or contract that the venture or arrangement shall not engage in activities that would jeopardize the Organization’s federal tax exemption; and

(iv) all contracts entered into with the Organization shall be on terms that are arm’s length or more favorable to the Organization.

**APPROVED BY: Board of Directors, June 25, 2009**

#### **Record Retention Policy & Schedule**

According to the Sarbanes-Oxley Act, it is a crime to alter, cover up, falsify or destroy any document with the intent of impeding or obstructing any official proceeding. This policy provides for the systematic review, retention, and destruction of documents received or created by the NCCI.

<u>TYPE OF RECORD</u>	<u>RETENTION PERIOD</u>
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<b>ACCOUNTING</b>	
Accounts receivable & payable	3 years
Auditors reports/work papers	Permanent
Bank deposit slips	3 years
Bank statements	7 years
Bank Reconciliations	2 years
Budgets	0 years
Canceled checks, generally	3 years
Cash disbursements journal	Permanent
Cash receipts journal	Permanent
Chart of Accounts	Permanent
Contracts, leases, notes	Expired: 7 years, Still in Effect: Permanent
Depreciation records	Permanent
Duplicate Deposit Slips	2 years
Employee expense reports	4 years
Employee payroll records (W-2, W-4 annual earnings records, etc.)	6 years while employed. Terminated: 3 years.
Financial statements (annual)	Permanent
Financial statements (interim/internal)	Optional
General journal or ledger	Permanent
Inventory lists	Permanent
Invoices	3 years
Payroll journal	4 years
Petty cash vouchers	3 years
<b>CORPORATE RECORDS</b>	
Annual reports	Permanent
Articles of Incorporation	Permanent
Authorizations and appropriations for expenditures	3 years
Constitution and bylaws	Permanent
Contracts, leases, notes	Expired: 7 years, Still in Effect: Permanent
Contracts, government	7 years
Contracts, sales (UCC)	7 years
Minutes (board and committees with board authority)	Permanent
Minutes (committees without board authority)	5 years
Qualifications to do business	Permanent
Record Retention Policy & Schedule	2
Reorganization records	Permanent
<b>INSURANCE</b>	
Accident reports	6 years
Insurance claims	7 years
Insurance policies	Permanent , Expired: 3 years
<b>MISCELLANEOUS LEGAL</b>	
Claims and litigation files	10 years
Copyright, patent and trademark registrations	Permanent

TAXES	
Income tax returns and canceled checks (federal state and local)	Permanent
GENERAL	
Correspondence (General)	2 years
Membership, meeting registration records	3 years
Supporting correspondence and notes re patents, copyrights, licenses, agreements, bills of sale, permits, liabilities, etc.	Permanent

**Approved: Board of Directors: June 25, 2009**

## **Whistleblower Policy**

### **Purpose**

NCCI is committed to high standards of ethical, moral and legal business conduct. In line with this commitment, and NCCI's commitment to open communication, this policy aims to provide an avenue for contracted staff and volunteers to raise concerns and reassurance that they will be protected from reprisals or victimization for whistleblowing.

This whistleblowing policy is intended to cover protections for you if you raise concerns regarding NCCI, such as:

- incorrect financial reporting;
- unlawful activity;
- activities that are not in line with NCCI's policies;
- or other activities, which otherwise amount to serious improper conduct.

### *Safeguards*

**Harassment or Victimization** – Harassment or victimization for reporting concerns under this policy will not be tolerated.

**Confidentiality** – Every effort will be made to treat the complainant's identity with appropriate regard for confidentiality.

**Anonymous Allegations** – This policy encourages contracted staff and volunteers to put their names to allegations because appropriate follow-up questions and investigation may not be possible unless the source of the information is identified. Concerns expressed anonymously will be explored appropriately, but consideration will be given to:

- The seriousness of the issue raised;
- The credibility of the concern; and
- The likelihood of confirming the allegation from attributable sources.

**Bad Faith Allegations** – Allegations in bad faith may result in disciplinary action.

Procedure: 1. Process for Raising a Concern

Reporting – The whistleblower procedure is intended to be used for serious and sensitive issues. Such concerns, including those relating to financial reporting, unethical or illegal conduct, may be reported directly to any member of the board. The board member will report the complaint to a member of the Executive Council for appropriate action.

Timing – The earlier a concern is expressed, the easier it is to take action.

Evidence – Although the contracted staff/volunteer is not expected to prove the truth of an allegation, the contracted staff or volunteer should be able to demonstrate to the person contacted that the report is being made in good faith.

#### Procedure: 2. How the Report of Concern Will Be Handled

The action taken by NCCI in response to a report of concern under this policy will depend on the nature of the concern. The Governing Board of NCCI shall receive information on each report of concern and follow-up information on actions taken.

Initial Inquiries – Initial inquiries will be made to determine whether an investigation is appropriate and the form that it should take. Some concerns may be resolved without the need for investigation.

Further Information – The amount of contact between the complainant and the person or persons investigating the concern will depend on the nature of the issue and the clarity of information provided. Further information may be sought from or provided to the person reporting the concern.

Employment-related concerns should continue to be reported through your normal channels such as your supervisor, the Executive Director, or President.

APPROVED BY:

**Board of Directors, June 25, 2009**

## **NCCI Sponsorship/Partnership Policy**

### **Preamble**

As a 501(c)(3) nonprofit association, NCCI accepts tax-deductible corporate sponsorship to support activities related to its mission to “advance sustainable excellence in higher education by promoting the practice and discipline of continuous improvement across all academic and administrative functions.” NCCI will not solicit or accept sponsorships from corporate entities whose practices, policies or operations are deemed to be contrary to the values expressed in NCCI’s mission.

### **Statement of Policy**

NCCI actively solicits and encourages the business community and other organizations and entities to become sponsors of NCCI events, programs and services, consistent with NCCI’s mission and values. NCCI will enter into agreements with sponsors it deems appropriate. Sponsorship agreements may vary by sponsor. NCCI reserves the right to refuse or decline any offer of sponsorship at its sole discretion or to negotiate with the sponsor concerning any aspect of a proposed sponsorship.

A sponsorship is a mutually agreed upon exchange in which NCCI obtains support for a specified activity, the sponsor receives acknowledgement and recognition in return for cash and/or products and services in-kind to NCCI and any additional benefits may also be extended to the sponsor with the approval of the President and the Administrative Director.

### **General Guidelines**

NCCI sponsorships are subject to the following general guidelines:

- A sponsorship is a financial or in-kind contribution to NCCI by any corporation, organization or entity that provides support for specific Association activities, programs or services consistent with NCCI’s mission to “advance sustainable excellence in higher education by promoting the practice and discipline of continuous improvement across all academic and administrative functions.”
- NCCI will not accept corporate sponsorship that reflects negatively on the Association, is inconsistent with its mission and values, or is not in the best interests of the Association, as determined by the Board of Directors.
- NCCI retains editorial control over any sponsored program, including all materials published in connection with the sponsorship.
- Direct solicitation of business or promotion of products or services during educational sessions or in the registration area is prohibited.
- Sponsors will be provided with acknowledgment and recognition as defined in each individual agreement. However, NCCI members’ email addresses will not be provided as a sponsor benefit.
- NCCI does not endorse directly or by implication any individual sponsor or its products and services.
- Sponsorship and program planning are separate and independent from one another. Sponsorship does not guarantee a speaking slot, unless otherwise specified in an agreement.

Sponsorship Practices for NCCI Annual Conference

NCCI does not offer an exhibit area as part of its Annual Conference. The primary interests of NCCI that are served by corporate sponsorships for its Conference are to provide an opportunity for corporations and other entities to demonstrate their interest in and support for the mission and programs and services of the Association and its members who serve higher education institutions and to defray through their financial support the costs associated with the Annual Conference that otherwise would be borne by attendees.

### **Current Practices**

- Sponsorship opportunities are derived from activities and events already planned as part of the Conference.
- NCCI appreciates the support of its sponsors and provides recognition for that support at the Conference through signage, listing in the Conference Program Book and e-newsletter, and acknowledgment at the Annual Business Meeting.
- Sponsorship does not guarantee a place on the speaking program or a role in the educational programs as a result of the contribution made, unless specified in an agreement.
- NCCI reserves the right to decline sponsorships from corporations and other organizations it deems are not of interest to or have a potential conflict of interest with our members.
- As a result of their sponsorships, corporations are entitled to certain benefits, as defined in their individual agreements with NCCI.

### **NCCI Sponsorship Benefits**

These are benefits that NCCI may provide individually or as part of a sponsorship package:

- Recognition of the sponsor in the printed Conference Program Book. NCCI maintains editorial control over all printed materials.
- Recognition of the sponsor in electronic Conference promotional pieces, subject to NCCI's control over content and placement.
- Signage onsite at the Conference with sponsor logo if provided.
- Recognition at the Annual Business Meeting and luncheon.
- Recognition in a post-Conference electronic e-newsletter sent to all members.

### **Sponsorships for other NCCI activities, programs and services**

NCCI may also solicit and accept funds for other purposes or for special projects, initiatives or events, provided such funding does not cause an undue staff burden or create competition with Annual Conference sponsorships.

### **Authorization**

Sponsorships should be in writing in the form of an Agreement or Memorandum of Understanding. All potential sponsorships are subject to prior approval by the Executive Team via a vote or consensus through teleconferencing or email.

### **Types of Sponsorship/Partnership Opportunities**

- Pre-Conference: Planning/conducting/Co-sponsoring pre-conference sessions, Conference: Conference Keynotes or panel Presentations
- Conference: Sponsoring the World Café activity
- Conference: Sponsoring Breaks, meals, receptions
- Planning/Presenting/Co-sponsoring Webinars, additional other possible trainings (at other times than the Pre-Conference or the Conference)
- Identifying other potential new members, new member institutions
- Creation of possible Web Content (White Papers, challenging issues)
- Support improving the website overall
- Additional Resources for helping member organizations

### **Miscellaneous**

Vendors/sponsors will not be keynote or breakout speakers, unless approved in advance by the President and the Conference Committee Chair. They can be recognized in a variety of ways.

Here are general guidelines for recognizing sponsors:

- Vendors who are not sponsors will not be recognized or be speakers. Exception: If NCCI feels that the members would benefit from learning from a vendor, an exception may be made.
- Sponsors may be recognized based on their level of contribution. Examples:
  - o \$10,000 or higher: may be recognized during a plenary session, and provide a 2 minute statement. They will be recognized in the program and conference promotional materials.
  - o Sponsor of a meal or reception: Recognized verbally at the conference and in the program.
  - o Sponsor an award or activity - \$5000 or more. Recognized in the program, in articles/promotional materials, and at activity or award proceedings.

Note: These are guidelines; meant to be flexible. Other specific situations may be added as is helpful.

## **Miscellaneous Policies**

### **Annual Conference Registration Cancellation Policy**

All cancellations emailed or postmarked prior to [insert date two weeks prior to start of Conference] will be subject to a \$75 cancellation fee. Cancellations emailed or postmarked after [insert date] will forfeit all registration fees. Forfeited fees cannot be applied to future meetings. Substitutions from within the same institution are permitted at no additional cost. All substitutions must be made in writing and accompanied by a completed NCCI Conference Registration Form. Exceptions due to extraordinary circumstances will be considered on a case-by-case basis.

### **Annual Conference Speaker/Keynote Speaker Reimbursement Policy**

Concurrent session speakers are not eligible for expense reimbursements or honoraria. They are eligible for the speaker reduced registration fee, to a maximum of three per session. The primary contact will determine which three receive the reduction and inform the Program Committee.

Key note speakers may have expenses covered, if necessary. A maximum of two nights, transportation and per diem (not including meals provided by the conference) will be included. Honoraria or NCCI membership for non-NCCI members may be reimbursed if negotiated in advance of budget finalization.

The Annual Conference planning committee members will be eligible for the reduced speaker rate for registration; no other expenses will be covered.

### **Dissemination of Members' Email Addresses**

Dissemination of members' email addresses is prohibited, with the exception of special requests by members for one-time use to promote specific NCCI programs or activities. Such requests are subject to review and approval by the President and the Executive Director.

### **Nondiscrimination Policy**

The officers, directors, committee members, employees, and persons served by NCCI shall be selected entirely on a non-discriminatory basis with respect to age, sex, race, religion, national origin, and sexual orientation. It is NCCI's policy not to discriminate on the basis of race, creed, ancestry, marital status, gender, sexual orientation, age, physical disability, veteran's status, political service or affiliation, color, religion, or national origin. NCCI does not discriminate in its programs or activities on the basis of race, color, national or ethnic origin, ancestry, age, religion or religious creed, disability or handicap, sex or gender (including pregnancy, sexual harassment and other sexual misconduct including acts of sexual violence such as rape, sexual assault, sexual exploitation and coercion), gender identity and/or expression (including a transgender identity), sexual orientation, military or veteran status, genetic information, or any other characteristic protected under applicable federal, state or local law.