

Association of Leadership Educators, Inc.

**POLICY MANUAL**

**Contents**

Introduction ..... 3

Membership Policies

    Application requirements ..... 4

    Membership categories, privileges & dues ..... 5

    Code of Ethics ..... 6

    Review of alleged violations ..... 7

    Harassment ..... 9

Governance Policies

    Conflict of interest ..... 10

    ALE board of directors

        Nominations ..... 12

        Election procedures ..... 13

        Voting procedures ..... 13

        Removal procedures ..... 13

        Meeting procedures ..... 13

        Meeting minutes ..... 14

        Member participation in a board of directors meeting ..... 15

        Confidentiality ..... 16

        Apparent authority ..... 16

        Indemnification and insurance ..... 16

    Working groups ..... 17

    Collaborative efforts ..... 19

    File access ..... 20

Financial Policies

    Fiscal year, authorized signatures, UBIT ..... 21

    Affinity programs, contracts ..... 22

    Financial audit/review, returned checks ..... 23

    Budgeting, reserves ..... 24

Communications Policies

Acceptance, advertising .....	25
Social media.....	26
Social media comments .....	28

Annual Conference Policies

Site and theme selection .....	29
Attendee registration, refunds, and scholarships .....	30
Conference tracks and submission.....	31
Reviewers and moderators.....	32
Exhibitors and sponsors .....	33
Awards .....	34

Other policies

Member travel .....	37
Research requests.....	38

Compliance Policies

Antitrust.....	39
Document retention .....	40
Joint venture.....	43

This manual serves as a guide for the officers, directors, working group leaders, members and staff of Association of Leadership Educators (ALE). While the intent is for this manual to be as comprehensive as possible, it is not possible to anticipate every situation that may arise in the conduct of the association's business and in service to members or to provide information that answers every question. In addition, circumstances will undoubtedly require that policies need to be added or removed from this manual or modified within it from time to time. Accordingly, it is the responsibility of the board of directors to ensure this manual is kept up-to-date and made available to assist in the implementation of the programs of ALE, consistent with these policies so long as they do not conflict with the bylaws. In the event of a conflict, the bylaws will prevail.

ALE is an Ohio non-stock corporation. As such, to the best of the association's ability, policies herein shall comply with applicable Ohio statutes and U.S. law.

ALE holds 501(c)(3) nonprofit status, granted by the U.S. Internal Revenue Service. As such, to the best of the association's ability, policies herein shall remain consistent with the association's original declaration of sources of support, purposes, character and method of operation. In the event of relevant changes, ALE shall notify the Internal Revenue Service as required through the annual filing of Form 990 or Form 990-EZ, Return of Organization Exempt from Income Tax. Deviations from the association's original intents may result in the loss of its nonprofit status.

#### ALE Vision

The Association of Leadership Educators' vision is to set the standard for Leadership Education. ALE will be the leading resource for the exchange and development of quality ideas, scholarship, and practice that impacts the field of Leadership Education. ALE establishes the bridge between research and practice in Leadership Education through an inclusive and engaging community of dynamic leadership educators, committed to consistently growing, thriving, and advancing the field of Leadership Education.

#### ALE Mission

The mission of the Association of Leadership Educators, Inc., is to strengthen and sustain the expertise of professional leadership educators.

Membership Policies

Individuals interested in membership in Association of Leadership Educators (ALE) shall be provided upon request, including but not limited to request via ALE's website, with an official membership application. This application may be revised from time to time and shall be updated annually with appropriate tax deductibility information.

Each applicant must complete the official membership application in full and remit it with applicable dues at the amount coinciding with the type of membership sought and as set forth at the time of application. In submitting the application with payment, the applicant acknowledges understanding of and makes commitment to adhere to the ALE bylaws and Code of Ethics and the policies specified in this Manual.

Membership applies to an individual person. Multiple individuals from the same institution/company may be members of ALE concurrently. Such multiple representation within ALE is encouraged to enrich both ALE and the institution/company represented.

Each individual submitting a completed membership application with payment shall automatically be granted membership and be added to the active roster of members for the period of one year or three years, depending on the membership payment option selected, from submission. Memberships require renewal at the end of each membership period with remittance of dues at the amount set forth at the time of renewal. Submission of renewal dues serves as continued acknowledgement of understanding of and commitment to adhere to the ALE bylaws and Code of Ethics and the policies specified in this Manual.

Membership Policies

Categories of membership

Regular – educators, practitioners, and others with professional interest in leadership education.

Student – those individuals currently enrolled in undergraduate or graduate programs.

Membership privileges

All members are eligible to submit papers to, review submissions for and attend the ALE Annual Conference. Additionally, all members may serve on working groups, volunteer to complete Annual Conference tasks and provide other association-related support. All members may nominate themselves and colleagues for awards and members for leadership positions.

Additionally, privileges of membership include service as working group chairs and vice-chairs, service on the board of directors in accordance with related policies outlined in this manual, and the right to vote on association matters.

Dues

Each individual member of ALE, regardless of category of membership, must pay annual dues. A discounted annual rate is available for members choosing to pay for three years of membership at once. The dues amount for Student members will be at discounted amounts from that of Regular members; all dues rates shall be set by a 2/3 majority vote of the board of directors.

Membership dues are non-refundable and non-transferable.

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## Membership Policies

### Association of Leadership Educators Code of Ethics

The Association of Leadership Educators depends on cooperation, involvement, and leadership from its members. As such, ALE members adhere to high ethical standards when interacting with others in the association, participating in ALE activities, and assuming official roles. Members also abide by the rules and policies pertaining to the specific ALE activities in which they engage.

Additionally, members agree to abide by policies outlined in the Association of Leadership Educators Policy Manual and these standards of conduct when acting in official associational roles and participating in ALE-sponsored activities:

- Members who receive or handle ALE funds provide a true accounting of the money and/or property entrusted to them and do not steal or misappropriate ALE resources or circumvent ALE financial policies.
- Members acting in official ALE roles do not receive compensation, gifts, or other special considerations in return for the promise of ALE business.
- Members maintain the integrity of confidential deliberations, activities, and roles where applicable, including but not limited to those of the board of directors, working groups, task forces, and review panels.
- Members do not make public statements of any kind about ALE or its members (individually or collectively) that are false, deceptive, misleading, or fraudulent, either because of what they state, convey, suggest or because of what they omit.
- Members do not engage in activities that are detrimental to the association.
- ALE members do not file or encourage the filing of ethics complaints that are frivolous and are intended to harm the alleged violator.

All members have an obligation to be familiar with this Code of Ethics and the policies and standards referenced in this manual. Lack of awareness or misunderstanding of an ethical standard or policy is not, in itself, a defense against unethical conduct. Members are subject to review and potential action against their membership status and/or benefits when violations of this Code or association policies are alleged.

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Membership Policies

Review Process for Alleged Code of Ethics and Policy Violations

Complaints of alleged violations of the ALE Code of Ethics or ALE policies must be submitted in writing to the ALE board of directors.

The board of directors will refer the complaint to the Executive Committee or an Ethics Working Group assembled for this purpose [the “Reviewing Body”]. The Reviewing Body may contact the filer of the complaint if additional information or answers to clarifying questions are needed.

The Reviewing Body will inform, in writing, the member against which the complaint was made of the alleged Code of Ethics or policy violation(s) and provide that member 21 (twenty-one) days to respond to the allegations.

The member against which the complaint was made will supply written response to the complaint within 21 (twenty-one) days of the communication from the Reviewing Body. In addition, the member may request appearance before the Reviewing Body (in-person or via electronic/telephonic means) to discuss his/her response.

The Reviewing Body may request appearance by the member against which the complaint was made (in person or via electronic/telephonic means) to gather additional information or clarify any remaining questions.

Within 21 (twenty-one) days of the receipt of the member’s response or the date of the meeting with the member (whichever occurs last), the Reviewing Body will provide to the board of directors a written report that will determine if a violation of the Code of Ethics or ALE policy occurred.

The board of directors will, at its next regular meeting or at a special meeting called if so warranted, review and take action to accept or reject the report of the Reviewing Body.

If the board of directors accepts a report from the Reviewing Body that finds a violation of the Code of Ethics or ALE policy, the board will deliberate and determine what sanction will occur as a result of the violation. Sanctions may include:

- Written, private reprimand
- Termination of membership

If, during the course of membership tenure, a member receives two (2) written, private reprimands regarding violations of the ALE Code of Ethics or policies, upon a finding of violation for a third time, the board imposed sanction will be termination of membership.

The board of directors will provide written notice of its decision to the member against which the complaint was made within five (5) business days of the meeting at which the decision was made. The member has 14 (fourteen) days from the date of the board’s notice to appeal the decision and supply additional information in support of his/her position.

The board of directors will, at its next regular meeting or at a special meeting called if so warranted, hear the member’s appeal and review additional information provided (in writing, in person, or via electronic/telephonic means). Except in the case of termination of membership, the decision of the board at this meeting is final.

Membership Policies

In the case of termination of membership, if the board upholds such a decision after initial appeal, the member has the right to appeal to a meeting of the general membership. In such cases, notice of the determined Code of Ethics or policy violation and sanction as well as a written statement from the member outlining his/her basis for appeal will be provided to all current members in advance of the meeting. The majority vote of the members present at the membership meeting (which can be held in person or via electronic/telephonic means) will determine if termination of membership will be upheld or if the appeal will be granted. The decision made by majority vote of members present will be final.



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## Membership Policies

Association of Leadership Educators (ALE) members and employees have the right to a participation and work environment free from any type of discrimination, including but not limited to freedom from sexual, ethnic or racial harassment or any other type of derogatory or objectionable conduct. At ALE-sanctioned activities, the association prohibits harassment of or by its employees and members in any form whether from co-employees, members, vendors or guests.

With respect to sexual harassment, ALE prohibits unwelcomed sexual advances, requests for sexual favors, and all other verbal or physical conduct of a sexual or otherwise offensive nature in which:

- Submission to such conduct is made either explicitly or implicitly a term or condition of employment or participation
- Submission to or rejection of such conduct is used as the basis for decisions affecting an individual's employment or participation
- Such conduct has the purpose or effect of creating an intimidating, hostile or offensive environment

Examples of types of conduct expressly prohibited by this policy include, but are not limited to:

- Unwanted or offensive comments, slurs, jokes, written or electronic communications, or voicemail or text messages regarding race, ethnicity, gender, sexual orientation, age, disability, or any other legally protected status
- Foul or obscene language
- Sexually oriented or explicit remarks, including written or verbal references to sexual conduct, gossip regarding one's sexual preferences, activities, deficiencies or prowess
- Questions about one's sex life or experiences
- Repeated unwelcomed sexual flirtations or repeated unwelcomed requests for dates
- Suggestive or sexually explicit posters, calendars, photographs, graffiti or cartoons
- Inappropriate touching, such as rubbing or massaging someone's neck or shoulders, stroking someone's hair, brushing against another's body, grabbing, groping, kissing or fondling
- Leering, staring, stalking

Harassment complaints should be reported to the president or vice president immediately. Upon receiving a complaint of harassment, ALE will conduct a thorough and objective investigation in accordance with the review policy outlined in this manual. In determining whether the alleged conduct constitutes harassment, the totality of the circumstances, the nature of the harassment, and the context in which the alleged incidents occurred will be investigated. If the investigation confirms the allegation, prompt and appropriate action will be taken. Such action may include termination of membership or employment with ALE.

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## Governance Policies

Members of ALE's board of directors, officers, and key employees each have an affirmative obligation to act at all times in the best interests of ALE. This policy serves to define the term "conflict of interest" to assist members of the board, officers, and key employees in identifying and disclosing such conflicts, and to minimize the impact of such conflicts on the actions of ALE whenever possible. (Collectively, this policy will refer to directors, officers, and key employees as "Covered Officials.")

*Conflict of interest defined.* A "conflict of interest" is any transaction or relationship which presents, or may present, a conflict between a Covered Official's obligations to ALE and his or her personal, business, or other interests.

*Fiduciary duty.* Each Covered Official has a fiduciary duty to conduct himself or herself without conflict to the interests of ALE. When acting within his or her capacity as a Covered Official, he or she must subordinate personal, business, third-party, and other interests to the welfare and best interests of ALE.

*Disclosure.* The board of directors recognizes that conflicts of interest are not uncommon, and that not all conflicts of interest are necessarily harmful to ALE. However, the board requires full disclosure of all actual and potential conflicts of interest. Each Covered Official shall disclose any and all facts that may be construed as a conflict of interest, both through an annual disclosure process and whenever such actual or potential conflict occurs.

*Process and remedy.* The board of directors will determine whether or not a conflict of interest exists, and whether or not such conflict materially and adversely affects the interests of ALE. A Covered Official whose potential conflict is under review may not debate, vote, or otherwise participate in such determination. If the board of directors determines that an actual or potential conflict of interest does exist, the board shall also determine an appropriate remedy. Such remedy may include, for example, the recusal of the conflicted Covered Official from participating in certain matters pending before the board or other ALE body.

*Delegation.* The board of directors may delegate its authority to review and remedy potential conflicts of interest to the ALE executive committee. Only disinterested members of the executive committee may participate in any such review. The executive committee shall inform the board of its determination and recommended action. The board shall retain the right to modify or reverse such determination and action, and shall retain the ultimate enforcement authority with respect to the interpretation and application of this policy.

*Annual disclosure process.* On an annual basis, each member of the board of directors shall be provided with a copy of this policy, and shall complete and sign the acknowledgement and disclosure as outlined on the following page:

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Governance Policies

Association of Leadership Educators Board of Directors Annual Statement of Disclosure

I, \_\_\_\_\_ (name printed), have read the Conflict of Interest Policy of Association of Leadership Educators (ALE).

To the best of my knowledge and belief, neither I nor any person or association with which I have a personal or business relationship is engaged in any transaction or activity that may represent a conflict with my obligations to ALE.

To the best of my knowledge and belief, neither I nor any person or association with whom I have a personal or business relationship intends to engage in any transaction, to acquire any interest in any association or entity, or to receive any substantial gift or favor that may represent a conflict with my obligations to ALE.

To the best of my knowledge and belief, I do not expect to receive compensation from ALE, or to receive in excess of \$10,000 annually from ALE for services I provide to ALE as an independent contractor, other than reimbursement of reasonable expenses.

To the best of my knowledge and belief, no member of my family expects to receive any compensation or material financial benefit from ALE.

To the best of my knowledge and belief, I have no family relationship or direct business relationship with any current member of the Board of Directors, any officer, or any key employee of ALE.

Any exception to the statements made herein is disclosed in full below.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

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## Governance Policies

### Nominations

Members may recommend themselves or other members for consideration as candidates for the board of directors. If an individual recommends him/herself, the chair of the nominating committee shall provide that individual with information pertaining to board service and the board service agreement for the individual's review. If after reviewing this information the individual feels board service isn't for him/her, s/he may withdraw his/her name from consideration by notifying the secretary. If an individual is recommended by someone else, the secretary shall notify the recommended individual and provide him/her with information pertaining to board service and the board service agreement for the individual's review. If after reviewing this information the individual feels board service isn't for him/her, s/he may withdraw his/her name from consideration by notifying the secretary.

All individuals recommended for board service who have accepted such recommendation shall be forwarded to a nominations committee for investigation of their qualifications for service. The committee may require additional information from such individuals to facilitate the review process.

Elements the nominations committee may consider when vetting potential candidates for the board of directors include, but are not limited to:

- Past participation in ALE events and working groups
- Acting as a positive spokesperson for ALE's efforts
- Demonstrated ability to act in the best interests of ALE and to work in good faith with other members and employees/contractors as partners toward achievement of the association's goals
- History of showing respect for fellow member leaders' positions and votes, and public support of the decisions of ALE's leadership
- Interviews with the potential candidates and input as may be offered by other members

If, after this review process, the nominations committee deems a potential candidate not qualified for board service at that time, the reasons for such a decision will be provided to the individual. Said individual shall have the ability to request a meeting with the committee to rebut the reasons provided and offer new information that the individual believes the committee should also consider. The nominations committee's determination of qualified candidates is final, and if an individual remains unqualified, the individual may request assistance from the committee to help develop his/her qualifications such that the individual may be qualified in a later year.

No more than two (2) individuals from the same institution/organization may serve on the ALE board of directors at the same time.

All qualified candidates are noticed to the full membership in advance of the annual election. As a result of the vetting process and electronic voting procedures, no write-in candidates or votes for the same are allowed.

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## Governance Policies

### Election Procedures

#### *Eligible voters*

Only the member of record (the individual whose name is currently associated with the membership record) of each Regular or Student membership is eligible to vote in elections for the board of directors. Each such member may cast one vote.

Members whose dues are in arrears are ineligible to vote, though if within 90 days of the renewal date, payment of dues allows for immediate eligibility to vote if dues payment was the only factor making the member ineligible to vote. Proxy voting is not allowed.

#### Voting procedures

A ballot listing the full slate of directors and directors/officers shall be electronically delivered to all current members. At least three weeks (21 calendar days) will be provided between the date of distributing the ballot and the final date for acceptance of completed ballots.

The candidates receiving the highest number of votes by election ballot are deemed elected. In the event of a tie, a second ballot listing only the candidates involved in the tie will be sent via email to the members who participated in the first election vote. Following the second vote, the candidate receiving the highest number of votes will be declared elected.

#### Removal procedures

If any ALE director fails to carry out assigned responsibilities or uphold policies as prescribed in this manual, the president (or vice president in the case that it is the president who is failing) will privately discuss with the individual his/her responsibilities and ability to meet the requirements of service going forward. If the individual feels unable to commit to board responsibilities at that time, the president or president-elect, as applicable, will accept the director's resignation from the board and fill the position as outlined above. If the individual recommits to board responsibilities and continues to fail to carry out assigned responsibilities or uphold policies as prescribed in this manual, the ALE board of directors may, by two-thirds vote, declare his/her position vacant and fill such position from the ALE membership.

#### Meeting procedures

For action to be taken at a meeting of the ALE board of directors, at least seven (7) directors must be present.

Meetings of the ALE board of directors shall be guided by "Robert's Rules of Order," latest edition. While open debate is generally encouraged, from time-to-time, depending on the number or depth of items on the agenda, debate may be limited to three minutes per person. Additionally, it may be declared that no person shall speak to a motion more than twice. If such limitations are enacted, the board shall appoint a timekeeper for that meeting.

For most items requiring board action, a voice vote or a show of hands is sufficient to facilitate voting. In these cases, the president (or other presiding individual if the president is not currently presiding) shall not vote except in the case of breaking a tie.

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## Governance Policies

At any time, any director may call for an anonymous vote which is conducted using paper or electronic ballots. In cases of paper or electronic ballots, the president (or other presiding individual if the president is not currently presiding) is eligible to vote because his/her anonymous vote is unknown to the rest of the directors and therefore cannot influence their decisions. When an anonymous vote is called, the secretary shall tally paper or electronic votes and announce the disposition of the motion based on the votes; the secretary shall not record or report how individual directors voted except in cases of declared abstentions.

Unless otherwise specified in this policy manual or the ALE bylaws, a simple majority vote in the affirmative will carry a motion.

### Meeting minutes

The secretary ensures minutes of each ALE board of directors meeting are produced and retained. In addition to listing directors and guests present at each meeting, meeting minutes will include actions taken by statement of motions made and the disposition of each. Minutes will not name the individuals making, seconding, or speaking to motions; similarly, minutes will not report how individual directors voted except in cases of declared abstentions.

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**Governance Policies****Member participation in board of directors meetings**

As a membership association committed to transparency, ALE invites member participation in board of directors meetings. Such participation is guided by this policy, created to promote member input while ensuring efficient and effective meetings:

- A schedule of board meetings will be published on the association website, and upcoming regular and special board meetings will be noticed to members via email.
- Members are invited to submit topics for inclusion on agendas for regularly scheduled board meetings no less than ten (10) days in advance of the meeting at which the item is requested to appear on the agenda.
- Any new business a member wishes the board to address must be submitted in advance as outlined herein; any new business submitted by a member with less than ten (10) days notice and/or introduced by a member during a board meeting will be added to the agenda for the next regularly scheduled board meeting.
- Board meeting agendas will be published and available to members seven (7) days in advance of the meeting.
- Any member wishing to participate in a board meeting must RSVP to a designated board representative at least two (2) days in advance of the meeting. For meetings held via electronic means, the designated representative will provide the members RSVPing for the meeting the applicable log-in information. The members receiving electronic board meeting log-in information shall not disseminate that information to others, and all members joining an electronic board meeting must make their presence during the meeting known; the meeting minutes will include names of members participating as guests.
- During any board meeting, directors have the first opportunities to speak to issues. The floor will be opened to member comments after all directors who wish to speak to an issue have done so. Members will be granted the floor once per issue and for no more than three (3) minutes per issue unless additional time is provided by the board as may be warranted from time to time.

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## Governance Policies

### Confidentiality

Board members may have access to information that, if revealed to others, could be damaging or sensitive to other members or staff, harmful to the best interests of the association or even create legal liability. Board members are reminded that information provided to the board may concern personnel, financial, contractual, membership or legal matters, and information provided is for decision making and governing purposes only.

Board members agree that information shall be held in the strictest of confidence and shall not be divulged to any outside party, including other members, without authorization of the president.

### Apparent authority

Apparent authority is the authority that third parties reasonably believe a leader can exercise even though it may not have been actually granted. Apparent authority extends to the facts that third parties reasonably believe a leader states regarding association policy, practice and decisions.

As a result, directors are responsible for ensuring information they have regarding association business is accurate before sharing it with any outside party, including other members. If a director is not certain of a policy, procedure, price, deadline, or other element of ALE activities, s/he should clearly state that s/he doesn't know and then get accurate information before further response.

In addition, all members are subject to the impacts of apparent authority if volunteering or discussing with other groups/individuals as a representative of ALE. As a result, **NO MEMBER** shall serve in any capacity as a perceived representative of ALE to outside groups without express permission granted by the ALE board of directors and without the responsibility of reporting to the ALE board of directors the activities of the group. Further, no ALE member can present a position or opinion as that of ALE to an outside group other than as approved by the ALE board of directors.

### Indemnification and insurance

In addition to the indemnification of officers and directors provided in the ALE bylaws, ALE shall carry Director & Officer Liability Insurance for the protection of the dedicated members working on the association's behalf.



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## Governance Policies

Working groups are defined as committees, task forces and focus groups. ALE's bylaws specify that the association will have at minimum four committees: executive, audit and finance, annual conference, and membership/communication.

The bylaws provide the president the ability to create additional working groups as needed.

Unless otherwise prescribed in the bylaws or this policy manual, participation in ALE working groups is open to all active members. ALE appreciates the time and talent offered by all its volunteers.

Other than approval of minutes and actions on items previously approved by or specifically assigned to the group by the board, votes taken by working groups become recommendations for review and final action by the board of directors.

Currently active working groups:

Executive Committee

Audit and Finance Committee

Nominating Committee

Conference Committee

*Journal of Leadership Education* Editorial Advisory Board

Marketing and Public Relations Committee

Resource Development Committee

Awards and Recognition Committee

Member Services and Communication Committee

Council of Past Presidents

Executive Committee – among this group's duties are selecting and evaluating association staff or association management company (AMC), as may be applicable, and serving as a resource to staff or AMC in determining issues requiring board action/discussion.

Audit and Finance Committee – among this group's duties are annually requesting budget proposals from other working groups, evaluating each in relation to anticipated overall revenue and expenses as well as association priorities, and drafting a comprehensive annual operating budget to the board of directors for review, modification as may be necessary, and approval. Additionally this group ensures adherence to all financial policies outlined in this manual.

Nominating Committee – this group annually solicits association members to serve on the ALE board of directors, vets potential nominees, and forwards a slate of candidates to the full membership for voting via electronic means. The criteria this group may consider in vetting candidates may include, among other things, length of membership, previous service with ALE, member testimonials, and demonstration of commitment to the best interests of the association.

Conference Committee – this group and any sub-groups it creates plans, executes and evaluations the ALE Annual Conference in accordance with the policies outlined in this manual and as directed by the board of directors.

*Journal of Leadership Education (JOLE)* Editorial Advisory Board (EAB) – this group solicits for its members, vets them and recommends potential EAB members and a Journal Editor to the ALE board of directors for review and action. Criteria for service on the EAB and as *JOLE* Editor is detailed in the *JOLE* Policy Manual. Service on the EAB is a two (2)-year renewal term,

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## Governance Policies

except for the position of Journal Editor, which is a four (4)-year renewable term. The EAB will consist of no less than five (5) members, including the Journal Editor who also serves as the chairperson of the EAB. The EAB will conduct its work in accordance with the *Journal of Leadership Education* Policy Manual.

General work of the *JOLE* EAB includes ensuring ALE's official publication, the *Journal of Leadership Education*, is produced on schedule determined annually by the EAB, subject to periodic review based on the rate of submissions received and operational ability to produce a quality publication. Additional duties include remaining current on and acting in alignment with best academic journal practices, approving special issues and assigning guest editors, recruitment and selection of reviewers, and setting policies for its own governance as well as the operation of the Journal and the conduct of the Journal Editor.

Marketing and Public Relations Committee – this group focuses on the promotion of ALE and ensures adherence to the social media and logo use policies outlined in this manual.

Resource Development Committee – in addition to researching and recommending potential non-dues revenue opportunities for ALE, this groups aids the conference committee through securing sponsorships and ensuring agreed upon recognition for the annual conference.

Awards and Recognition Committee – this group sets deadlines for nominations and ensures nominations are reviewed, recipients selected, and awards ordered and presented at the annual conference and at other times as may be appropriate throughout the year.

Member Services and Communication Committee – this group causes the member newsletter to be created and disseminated, keeps the association website current, and manages other communications and services as benefits of membership.

Council of Past Presidents – assembled to enrich the association with the knowledge and experiences of its past presidents, this group can be called upon to review and offer insights into issues affecting the association and the field of leadership education to assist the ALE board of directors as it considers such issues.

## Governance Policies

ALE is committed to collaborative endeavors with external organizations/institutions when such efforts will advance leadership education, strengthen the association, and/or be of benefit to the membership. The immediate past president will represent the association in collaborative endeavors and may make additional appointments for such representation from time-to-time. Regular reports about each collaborative endeavor must be made to the ALE board of directors as requested.

No member shall serve in any capacity as a perceived representative of ALE to outside groups without express permission granted by the ALE board of directors and without the responsibility of reporting to the ALE board of directors the activities of the group. Further, no ALE member can present a position or opinion as that of ALE to an outside group other than as approved by the ALE board of directors.

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## Governance Policies

To conduct the business of ALE, volunteer leaders create, modify, disseminate, and retain a wide variety of documents in the form of electronic files. Access to these files is guided by this policy; document retention is outlined in a separate policy.

Periodically, the ALE board of directors will review, evaluate, and select an appropriate online storage repository for ALE documents.

Once established, password management and administrative access for the online repository is the responsibility of the ALE secretary. The secretary will share the password with, at minimum, the president and with the new secretary upon her/his assumption of that role.

It is the responsibility of each secretary to change the password and assume administrative access for the online storage repository within the first three weeks of her/his tenure. (Thus, the password will change annually.)

The secretary will share the password and grant access to the online repository to ALE board members and working group chairs as needed for the work of ALE to proceed in an efficient manner.

The secretary will be the recovery contact on the account.

No one granted access to the online repository by the secretary may share the password with anyone else.

Financial Policies

Fiscal year

The fiscal and budget year of Association of Leadership Educators shall be September 1 – August 31

Authorized signatures

The authority to sign checks for and on behalf of ALE is granted to the president and treasurer. Expenditures must be in accordance with the board approved operating budget or as specifically approved by the board.

UBIT

Although ALE is a nonprofit association, it may be subject to Unrelated Business Income Tax (UBIT) as a result of revenue generating activities (e.g. advertising). Such activities may play important roles in forwarding the association's goals and therefore shouldn't be avoided; they simply require appropriate accounting. It is the responsibility of the audit and finance committee to ensure all revenues are appropriately reported.

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## Financial Policies

### Affinity programs

From time-to-time, ALE has the opportunity to enter into affinity relationships with outside providers. Such programs are subject to approval of the board of directors following an evaluation of the program that considers issues such as, but not limited to:

- The service or product to be provided to members is one in which it can be reasonably expected that members would have interest or need
- The service or product to be provided to members is available at a discounted rate which would be unavailable to the individuals except through a group rate or other arrangement
- The association is to receive a royalty for the licensed use of the association's name and logo (a source of non-dues revenue)

### Discount Programs

From time-to-time, ALE has the opportunity offer discount programs to its members. Such programs are subject to approval of the board of directors following an evaluation of the program that considers issues such as, but not limited to:

- The service or product to be provided to members is one in which it can be reasonably expected that members would have interest or need
- The service or product to be provided to members is available at a discounted rate which would be unavailable to the individuals except through a group rate or other arrangement

Unlike affinity programs, discount programs are member benefits only, not a source of non-dues revenue for the association.

### Contracts

The president or any other officer of ALE duly authorized to act for him/her in a specific instance may execute contracts. The board of directors may also authorize any officer or agent of the association to enter into any contract or execute and deliver any instrument in the name of and on behalf of the association, and such authority may be general or confined to specific instances.

Financial Policies

Financial review/audit

The audit and finance committee shall select an independent accountant to review or audit the association's financials on an alternating schedule as determined by the ALE board of directors.

The independent accountant shall present the review/audit to the board of directors. Bound or electronic copies of such reports shall be made available to any ALE member upon request. The financial review or audit requires detailed review and acceptance by the board of directors.

Returned checks

Checks returned to the association by a financial institution for any reason, including but not limited to insufficient funds or closed accounts, will result in the immediate suspension of member services to the maker of the check. Additionally, each returned check will result in a \$25 fee charged to the maker of the check. This fee, along with payment in full for the amount of the original check, must be paid by the maker of the check in cash or certified funds before member services will be reinstated.

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## Financial Policies

### Budgeting

The audit and finance committee shall annually set and present to the board of directors for approval an operating budget for the association. ALE's nonprofit status does not require or suggest that its budget should result in zero net revenue or even very low profit. Whenever possible, the annual operating budget should anticipate greater revenues than expenses for the purposes of building reserves, allowing for enhanced member services, and reinvestment into equipment, staff and other initiatives in service to advancing the association's mission.

In creating the budget, the audit and finance committee will review existing programs and services, solicit input/proposed budgets from working groups, and evaluate and take into consideration economic factors which may affect dues income, specific goals or programs projected for implementation during the coming year. The board of directors must approve the annual budget before it becomes effective.

The board of directors receives a monthly statement of the association's revenues and expenses compared to the budget for review purposes only. The board may direct the audit and finance committee to reevaluate the budget during the course of a fiscal year if significant variance or patterns of variance are detected that could adversely affect the association. Upon completing such a reevaluation, the committee may present a revised operating budget to the board for approval.

Variances to the operating budget as approved shall be addressed as follows:

- Within a working group, program or event budget, the responsible chairperson may adjust line item expense, with the approval of the president, if the total working group, program or event budget does not change as a result.
- If funds to cover an overrun on a budget line item cannot be found with the same working group, program or event, an adjustment to the budget must be approved by the board of directors.
- Income or loss from a working group, program or event cannot be transferred to another working group, program or event, or carried over to the following fiscal year.

### Reserves

ALE must maintain adequate reserves to sustain operations to serve members in the event of catastrophic financial loss (for example, unexpected and dramatic drop in membership, failure of a major event, loss of a significant non-dues revenue source). The amount required in reserves shall be calculated annually by the audit and finance committee and will be equivalent to six months of operating expenses, which are currently defined as the total of following budget line items:

Accounting, Board of Directors, Insurance, *JOLE*, Member Database, and Website

Any use of funds out of reserves must be reviewed by the audit and finance committee and approved by the board of directors.

Reserves will be replenished, as a priority, out of the operating budget. The schedule for this replenishment will take no longer than three years and will be developed by the audit and finance committee and approved by the board of directors. In the event of a severe economic downturn, the repayment schedule will begin in the first year following an increase in gross revenues.



Communications Policies

Acceptance of communications

Members consent to receive communications sent by or on behalf of ALE to the addresses and numbers listed in the official membership record.

Advertising

Only ALE members may purchase advertising in ALE print and electronic publications. Terms and conditions of such advertising are specified on individual marketing opportunities forms as disseminated annually or per event/opportunity.

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## Communications Policies

ALE may develop and maintain online tools to open as many lines of communication to members and the general public as appropriate. Such tools will be consistent with the association's internal and external marketing plan and goals.

“Social media” is the term commonly given to online tools which allow users to interact with each other in some way. As the name implies, social media involves the building of communities or networks and encouraging engagement.

Social media may include, but is not limited to:

- Social networking sites (i.e.: Facebook, Foursquare, LinkedIn)
- Micro-blogging sites (i.e.: Twitter)
- Blogs
- Video and photo sharing sites (i.e.: Flickr, Instagram, YouTube)
- Forums and discussion boards (i.e.: Google Groups, Yahoo! Groups)
- Online encyclopedias (i.e.: Wikipedia, Sidewiki)

All official social media of the association must be established by the board of directors and managed (directly or by supervision) by the one or more parties selected by the board of directors.

Association social media will carry the name Association of Leadership Educators or ALE, whenever possible; if not possible, a name as closely related to either of the former will be used.

The profile image of the association on official social media sites will be the ALE logo or an image promoting an approved ALE event.

ALE will follow all terms and conditions of each online community through which the association chooses to communicate.

Official social media sites of ALE will not include any personal or confidential content about the association, members or employees.

ALE may link to/be a “fan” of other social media sites offered by related associations, such as the International Leadership Association (ILA) and other approved associations related to the academic study of leadership education and related topics as well as the support thereof. The association will not link to or be a “fan” of any social media sites, groups, pages, blogs, causes, etc. that are expressly political or religious or that could reasonably be considered likely to provoke, attack or offend others.

In its use of social media, the association will be:

- Transparent – clearly identify as ALE
- Professional – post content that is intended for the association's audience
- Responsible – always remember that online communications are permanently available and open to being republished in other media
- Accurate – fact-, spell- and grammar-check all association posts; credit sources appropriately; correct errors promptly

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**Communications Policies**

- Law-abiding – ensure that libel, defamation, copyright, trademark, rights of publicity and data protection laws are followed, including with regard to user-generated content
- Timely – provide information quickly and accurately
- A valued community member – provide information that is of interest to the readers/viewers; build a sense of community with thought-provoking content

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**Communications Policies**

Social media, as defined earlier, is used by the association to open as many lines of communication to members and the general public as appropriate. As a result, this two-way communication will result in members and the general public posting “comments” or other responses on official ALE social media sites.

ALE encourages comments and discussion on its various social media sites. The association does not pre-moderate any comments and welcomes all kinds of responses – supportive, dissenting, critical or otherwise.

A board-designated group, such as the membership/communications committee, monitors the association’s social media sites. Involved members may be following online conversations about the association, too, and are encouraged to inform members of the board of directors of any questionable comments posted on official ALE social media sites.

Upon identification of a critical comment, it will be assessed to understand if it has merit or not. If the commenter has a legitimate complaint, an individual authorized by the membership/communications committee or the board of directors will post a reply thanking him/her for his/her feedback and take the comment into consideration to make future improvements.

There will be some people who leave comments who are beyond appealing and will not be reasonable. Official representatives of ALE will not engage in online debates or arguments.

Official representatives of ALE will not delete or censor comments/links/posts unless they have content that:

- Is obscene, defamatory, threatening, harassing, abusive, slanderous, hateful or embarrassing to any person or entity
- Uses excessively foul language
- Breaks the law or condones or encourages unlawful activity (including but not limited to potential anti-trust violations)
- Infringes on the rights of any third-party
- Describes or encourages activities which could endanger the safety or well-being of others
- Could reasonably be deemed a violation of ALE’s Code of Ethics
- Is off-topic
- Is an advertisement or solicitation for business
- Is blatantly spam
- Is reported as abuse

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## Annual Conference Policies

### Site selection

To assist members in budgeting/planning and to allow sufficient time for hotel and logistical negotiations for ALE, the city in which the annual conference will be held will be set three years in advance. The annual conference committee (through a site selection sub-committee if the committee finds such a smaller group most beneficial for this purpose) will recommend to the board of directors for final approval a city to host the annual conference. Such recommendation will result from careful review of criteria including, but not limited to:

- Attendance at past ALE annual conferences held in that city
- Ease of travel to the city
- Major university(ies) with leadership programs in/near the city
- Activities available to attendees
- The geographic distance from other recent ALE annual conference cities
- Typical travel, food, and lodging costs for that city

### *Hotel selection*

Benefits inured to ALE through its Hilton Honors affiliation (i.e. accumulated points to pay for keynote speaker hotel rooms, thereby reducing annual conference expenses) make it advisable for the committee to seek first and with great diligence to work with one or more Hilton properties in the selected city.

### *Local institution(s) liaison(s)*

Once a city has been selected as the site for a ALE annual conference, the annual conference committee will outreach to ALE members to secure liaisons between the association and universities/institutions in or near the host city.

### Theme selection

The annual conference committee will recommend to the board of directors for final approval a theme for the next annual conference. Such recommendation will result from careful review of criteria including, but not limited to:

- Current leadership topics
- Current events
- Location of the conference
- Themes of other conferences

Annual Conference Policies

Registration

All individuals wishing to attend the ALE annual conference must register. Member and non-member registration rates are set as part of the annual operating budget process. If financially feasible, discounted registration rates will be available for student members.

All conference attendees, including presenters and speakers, must wear the appropriate conference identification at all conference events. Onsite registration for the conference is available.

Registration payment is required within 30 days of registering. Unpaid registrations beyond 30 days are subject to deletion with or without notice to the registrant.

As part of the budgeting process, the annual conference committee will work with the audit and finance committee to recommend to the board of directors what the conference registration will include, if spouse/guest rates will be offered and what those will include, and what special events may require separately priced tickets as well as what those ticket prices should be.

With the exception of keynote speakers and as may be included in sponsorship packages, all conference attendees must pay the full conference fee applicable to their status (regular members, student members, nonmembers), regardless of the amount of time spent at the conference. Exceptions to this policy may be made by the board of directors from time-to-time on a case-by-case basis if extenuating circumstances arise.

Refunds

Annual conference cancellation requests must be sent to the annual conference committee chair via email. Such requests made a minimum of seven (7) days prior to the start of the conference will result in a refund of applicable registration payments, less a \$75 fee. Cancellations made less than seven (7) days but more than forty-eight (48) hours prior to the start of the conference will result in a refund of applicable registration payments, less a \$150 fee. Cancellations made with forty-eight (48) hours or less notice will receive no refund. Cancellations without a written request are considered “no shows” and will not receive refunds. Exceptions to this policy may be made by the board of directors from time-to-time on a case-by-case basis if extenuating circumstances arise.

Annual Conference Scholarships

ALE will award up to four (4) scholarships each year to outstanding graduate and undergraduate students who attend and present at the annual conference. Each scholarship is for one student registration fee to the annual conference.

Eligibility:

- Applicants must be students in good academic standing at the time of the conference.
- Applications must be supported by a faculty member at the students' institutions.
- Past recipients of ALE Conference Scholarships (at either the undergraduate or graduate level) are not eligible.
- Scholarship recipients are required to present or co-present at the annual conference.

Annual Conference Policies

The conference committee coordinates the ALE annual conference call for proposals (CFP) and conference track decisions. The CFP outlines the submission requirements which include submission deadlines, specific track guidelines, and formatting requirements as determined by the conference committee.

The committee will assign one of its members to manage concurrent session coordination for each annual conference. This individual will, among other duties, assign track chairs. Track chairs must be current ALE members.

The lead author for each accepted submission will be notified of the acceptance on or before May 1. The date and time of the presentation will be determined by the conference committee in its creation of the conference schedule, and the lead author will be notified of the presentation date/time as soon as it is finalized. It is the responsibility of the lead author to notify any and all other authors of the accepted submission as well as the date/time of the presentation. All presenters are responsible for registering for the conference and making travel arrangements to ensure attendance at the assigned presentation day/time.

## Annual Conference Policies

### Proposal Reviewers

All submissions for presentation at the annual conference will be blind reviewed. Reviewers for conference proposals for each track will be solicited by a member of the annual conference committee. Reviewers will not be assigned to review any proposals in the track which they may have submitted a conference proposal(s). The coordinator of concurrent sessions will work with the track chairs to disseminate the conference proposals for review. Reviewer determinations regarding the dispensations of submissions are (accept/decline) final and do not need approval of the conference committee or ALE board of directors.

### Session Moderators

The annual conference committee may solicit session moderators who will welcome session presenters and participants as they enter the conference session, introduce the sessions/presenters, keep time, and assist in facilitating dialogue/questions (if time permitted) during the concurrent session presentations. Session moderators are annual conference attendees who volunteer their time to serve in this capacity. Session moderators are trained via an online session prior to the conference.



### Annual Conference Policies

Exhibitors and sponsors help support the ALE annual conference and subsequently ALE initiatives. Rates and benefits for exhibitors and sponsors are approved the full ALE board. Exhibitors and sponsors may be members or non-members of ALE.

Customized offerings are intended to create the most mutually beneficial relationship between exhibitors/sponsors and ALE, and as such a sponsorship agreement is required. The annual conference chair and exhibitor/sponsor will sign the agreement and an invoice will be generated. The agreement will specify the rights and responsibilities of each party and is binding.

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## Annual Conference Policies

ALE Awards recognize talented and diverse ALE members who are setting the standard for leadership education through the exchange and development of quality ideas, scholarship, and practice. Award application packets are updated each year by the annual conference committee (through an awards sub-committee if the committee finds such a smaller group most beneficial for this purpose) and made available to ALE members in mid-February with the deadline for submission in mid-April. A team of reviewers established by the annual conference committee (or its awards sub-committee) carefully considers each nomination and makes final determinations regarding the honorees. The awards are presented during the annual conference.

### ALE Rising Star: Early Career Leadership & Service Award

This award recognizes an early career ALE member whose leadership and service upholds and embodies the association's mission: to strengthen and sustain the expertise of professional leadership educators.

#### Eligibility:

- Applicants must be ALE members in good standing at time of award application submission.
- Applicants must have achieved less than 5 years of professional service in their respective field.
- Applicants may not have already received the award.
- Applicants may self-nominate or be nominated by another member of ALE.
- Applicants must provide two letters of recommendation (one being the nominator, if not self-nominated). It is strongly preferred this recommendation letter comes from an ALE member. One is strongly preferred to be from an ALE member, and one can be from a colleague/supervisor/former or current student.
- Applicants must have made a significant contribution of leadership and service to the Association of Leadership Educators and/or the field of leadership education.

### ALE Distinguished Leadership & Service Award

This award recognizes an experienced ALE member whose leadership and service upholds and embodies the association's mission: to strengthen and sustain the expertise of professional leadership educators.

#### Eligibility:

- Applicants must be ALE members in good standing at time of award application submission.
- Applicants must have achieved 10 years of professional service in their respective field.
- Applicants may not have already received the award.
- Applicants may self-nominate or be nominated by another member of ALE.
- Applicants must provide two letters of recommendations (one being the nominator, if not self-nominated). One is strongly preferred to be from an ALE member and the other can be from a colleague/supervisor/former or current student.
- Applicants must have made a significant contribution of leadership and service to the Association of Leadership Educators and/or the field of leadership education.

The Robin Orr Outstanding Practitioner Award

This award recognizes a distinguished practitioner for their significant accomplishments and contributions to leadership education and related fields.

## Eligibility:

- Applicants must be ALE members in good standing at time of award application submission.
- Applicants must have achieved 5 years of professional service in their respective field.
- Applicants may not have already received this award in the last 10 years.
- Applicants may self-nominate or be nominated by another member of ALE.
- Applicants must provide two letters of recommendations (one being the nominator, if not self-nominated). One is strongly preferred to be from an ALE member, and the other can be from a colleague/supervisor/former or current student.
- Applicants must have made significant contributions of leadership and service in their profession.

ALE Outstanding Teaching Award

This award recognizes an ALE member for their contribution to advancing leadership education through outstanding teaching and learning.

## Eligibility:

- Applicants must be ALE members in good standing at time of award application submission.
- Applicants must have achieved 5 years of professional service in their respective field.
- Applicants may not have already received this award in the last 10 years.
- Applicants must provide two letters of recommendations (one being the nominator, if not self-nominated). One is strongly preferred to be from an ALE member, and the other can be from a colleague/supervisor/former or current student.
- Applicants must demonstrate innovative and quality teaching and learning practice.
- Applicants should be employed in a professional role that includes at least 50% teaching.

ALE Outstanding Scholar Award

This award recognizes an ALE member for their contribution to advancing leadership education through their scholarship.

## Eligibility:

- Applicants must be ALE members in good standing at time of award application submission.
- Applicants must have achieved 5 years of professional service in their respective field.
- Applicants may not have already received this award in the last 10 years.
- Applicants must provide two letters of recommendation. One is strongly preferred to be from an ALE member, and the other can be from a colleague/supervisor/former or current student.
- Applicants must have made a significant contribution to leadership teaching, research, and practice through their scholarship.

ALE Outstanding Program Award

This award is designed to recognize outstanding leadership programs developed or implemented by ALE members. Two separate recipients will be selected:

- One to a leadership major, minor, certificate program, and/or academic course. The primary purpose of the program is to provide academic credit.
- One to a leadership workshop/conference or other non-credential program, youth development program, adult leadership development program, community leadership program, and/or other leadership development program. The primary purpose of the program is to provide an out-of-classroom or co-curricular experience.

## Eligibility:

- Program developer(s) must be ALE members in good standing at time of award application submission.
- Applicants may not have already received this award in the last 5 years.
- The program must have data that substantiates impact on individuals, organizations, institutions, and/or communities.

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## Other Policies

While funds are limited and the accountability for funds spent is high, the association offers reimbursement for travel expenses incurred by volunteer leaders to accomplish association objectives as follows:

*Board of Directors and Journal of Leadership Education (JOLE) Editorial Advisory Board (EAB)* – mid-year, in-person meetings of the board of directors and *JOLE* EAB, held at the hotel scheduled to host the next annual conference, allows for robust debate as well as efficient and productive decision-making regarding ALE and *JOLE* issues and activities. A budget for such a meeting must be approved as a part of the annual operating budget, and travel expenses associated with the meeting may be reimbursed up to a maximum of \$500/person and cannot exceed the actual travel expenses incurred. Reimbursable travel expenses include:

- Commercial air transportation at coach rate
- Private automobile if the meeting location is in reasonable driving distance
- Rental car, unless local transit is adequate
- Ground transportation to/from hotel and airport
- Parking charges during meeting-related use of a private or rental automobile
- Toll charges incurred during meeting-related travel
- Lodging

The reimbursement request and related documentation must be submitted to the treasurer within fourteen (14) days of returning home.

If approved in the budget, ALE may pay for the meal during working lunches, and the association may pay for one dinner out for all members of the board of directors and EAB in attendance. [NOTE: members of the board/EAB may bring guests to such a dinner; however, all expenses for a guest are the responsibility of the board/EAB member s/he accompanies.]

*Chair of Annual Conference Committee* – in recognition of the significant role the chair of the conference committee puts into the event, complimentary lodging at the conference hotel may be provided.

*ALE representatives for collaborative endeavors* – the immediate past president and other formally appointed ALE members representing the association in approved collaborative endeavors may request reimbursement for travel expenses (as outlined above) to attend meetings of the collaborative groups they represent. Such requests will be considered on a case-by-case basis, and if the ALE budget allows, reimbursement of actual travel expenses may be made, not to exceed \$500 per occasion.

## Other Policies

From time-to-time ALE receives requests from researchers who wish to invite ALE members and/or their institutions to participate as subjects in scholarly research. Outreach through ALE to its members is a privilege of membership; therefore, such research requests will be granted only for current ALE members and under the following conditions:

- The research must have been approved or exempted by the Institutional Review Board (IRB) of the requestor's institution, including the acknowledgement that the researcher will follow ethical practices for research using human subjects.
- The requestor must submit a brief description of the research project, a copy of the IRB approval or exemption, the email text the requestor wishes sent to ALE members, and a copy of the instrument the requestor intends to use for data collection.
- The materials must be received by the ALE board of directors at least 30 days prior to the intended date of outreach to ALE members.
- ALE will not release member contact information; rather, the invitation to participate in a member's research project as outlined herein will come from ALE. This invitation will include notice to members that participation is completely voluntary and that the decision to or not to participate, as well as any information provided for the purposes of the research, will in no way impact a member's standing with ALE.
- The ALE board of directors will review each such submitted request at its next scheduled meeting after receipt.
- If all requested materials are provided, the ALE board will not unduly withhold permission for the request to go to ALE members. However, if the ALE board has any questions or concerns, those will be posed to the requestor and any request to members will be delayed until the board has complete information and is confident that the request to participate in the study will not harm ALE members or their institutions.

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## Compliance Policies

The Association of Leadership Educators (ALE) supports and will comply with all applicable federal and state antitrust laws, and will avoid engaging in activities that could result in noncompliance by an association member or employee. The association and its members will follow the guidelines set forth below:

1. Meetings of ALE members, boards or committees shall be held only for proper purposes.
2. Meetings shall adhere to an agenda circulated to those expected to be in attendance.
3. Minutes of meetings shall accurately report actions taken.
4. No secret or impromptu meetings shall be held at any time.
5. At meetings, members will not discuss salary or program rates, tenure requirements, or any other subject that might be construed as tending to (a) raise, lower, or stabilize prices; (b) regulate production; (c) allocate markets; (d) encourage boycotts; (e) foster unfair trade practices; (f) assist in monopolization; or (g) in any way violate federal, state, or applicable international trade regulations and antitrust laws.
6. All ALE services shall be made available on a reasonable basis to all members, allowing that certain forms of participation may be available only to particular categories of membership and that those services shall be made available on a reasonable basis to all members within an eligible category.
7. Membership in ALE shall be available to all who qualify according to the association's bylaws and policies.

## Compliance Policies

ALE shall retain records for the period of the immediate or current use, unless longer retention is necessary for historical reference or to comply with contractual or legal requirements.

**Records and documents outlined in this policy include paper, electronic files (including emails) regardless of where the document is stored, including but not limited to cloud storage, network servers, desktop or laptop computers, and handheld computers or other wireless devices with text messaging capabilities.** Any employee of ALE, or any other person who is in possession of records belonging to ALE who is uncertain as to what records to retain or destroy, when to do so, or how to destroy them should seek assistance from the president or secretary.

In accordance with 18 U.S.C. § 1519 and the Sarbanes Oxley Act, ALE shall not knowingly destroy a document with the intent to obstruct or influence an “investigation or proper administration of any matter within the jurisdiction of any department, agency of the United States...or in relation to or contemplation of such matter or case.” If an official investigation is under way or even suspected, document purging must stop in order to avoid criminal obstruction. In order to eliminate accidental or innocent destruction, ALE has the following document retention policy:

Type of Record	Specific Record	Retention Period
<b>Accounting Records</b>		
	Annual Financial Statements	Permanent
	Monthly Financial Statements	3 years
	General Ledger	12 years
	Audit Records	7 years
	Journal Entries	8 years
	Special Reports	8 years
	Canceled Checks	8 years
	A/P Paid Invoices	8 years
	Business Expense Reports	8 years
	Credit Card Receipts	3 years
	Cash Receipts	3 years
	A/R Invoices	8 years
	Data of Acquired/Divested Assets	Permanent
	Data for Non-Acquired/Non-Diverted Assets	5 years
	Accounts Payable	7 years
	Accounts Receivable	7 years
	Audit Reports	7 years
	Chart of Accounts	Permanent
	Loan Documents	7 years after final payment
	Purchase Orders	7 years
	Stop Payment Orders	3 years
	Bank Reconciliations	3 years
<b>Tax Records</b>		
	Federal Tax Returns (not payroll)	Permanent
	State & Local Tax Returns	Permanent
	Form 990/990-EZ & Supporting Documents	Permanent
	Supporting Documentation for Taxes	4 years
	City & State Excise Tax Reports	5 years
	Unclaimed Property Filings	6 years
	1099 Forms	8 years



## Compliance Policies

Payroll Taxes (W2, W3)	Permanent
Payroll Taxes (Form 941, State Withholding Forms, State Unemployment Returns)	8 years
<b>Payroll Records</b>	
Wage Rate Tables	3 years
Wage	6 years
Salary	6 years
Payroll Deductions	6 years
Time Cards or Forms	5 years
W2 Forms	8 years
W4 Forms	8 years
Garnishments	4 years after termination
Payroll Registers	Permanent
State Employment Forms	4 years
State Unemployment Tax Records	Permanent
Cancelled Payroll Checks	8 years
Deductions Register	8 years
Earnings Records	8 years
Changes or Adjustments in Salary	8 years
<b>Insurance Records</b>	
Policies; Permanent Claims for Loss/Damage; Accident Reports; Appraisals	5 years
<b>Workplace Records</b>	
Incorporation Records (including Bylaws)	Permanent
Meeting Minutes	Permanent
Policy Statements	Permanent
Employee Directories	5 years
<b>Legal Records</b>	
General Contracts	3 years after termination
Real Estate Contracts & Records	Permanent
Personal Injury Records	8 years
Trademark Registration	Permanent
Copyright Registration	Permanent
Litigation Claims	5 years after close of case
Court Documents & Records	5 years after close of case
Deposition Transcripts	5 years after close of case
Discovery Materials	3 years after close of case
Leases	6 years after termination
<b>Personnel Records</b>	
Employment Applications (persons not hired)	1 year
Employment Applications (persons hired)	3 years following termination of employment
Employee Resumes & Employment History	3 years following termination of employment
Evaluations	3 years following termination of employment
Promotions, Raises, Reclassification, and Job Descriptions	5 years following termination of employment
Disciplinary Warnings, Demotion, Lay-off & Discharge	5 years following termination of employment

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**Compliance Policies**

Employment & Termination Agreements	Permanent
Beneficiary Information	Permanent
Medical & Safety Records	6 years
Accident Reports	6 years
Education Assistance	While employed
Sick Leave Benefits	While employed
Retirement Plans	Permanent
Incentive Plans (after expiration)	6 years
Pension Plans	Permanent

**Technical Materials**

Manuals	Permanent
Standards	Permanent
Correspondence	5 years after manual or standard become obsolete

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## Compliance Policies

In compliance with Internal Revenue Service guidelines for approval and management of any joint venture entered into by Association of Leadership Educators, the following guidelines shall apply:

### Activities Subject to this Policy

For the purposes of this policy, the term “Joint Venture” is defined as any arrangement, including contractual or more formal arrangements undertaken through a limited liability company, partnership, or other entity, through which ALE and another entity jointly undertake any activity or business venture, or otherwise agree to joint ownership of any asset. A Joint Venture may include both taxable and tax-exempt activities.

### Approval and Management of Joint Activities

Before making any decision to participate in a Joint Venture, ALE will ensure that the Joint Venture furthers ALE’s exempt purposes and will negotiate at arm’s length contractual and other terms of participation that safeguard ALE’s exemption from federal income tax. Such terms shall be in writing in the operating agreement of the Joint Venture and shall include the following minimum requirements:

- With respect to any whole joint venture (that is, a Joint Venture in which ALE contributes substantially *all* of its assets to the enterprise), ALE’s control over the Joint Venture would be through fifty-one percent (51%) or more of the voting rights and/or veto power;
- With respect to any ancillary joint venture (that is, a Joint Venture to which a portion of ALE’s resources are contributed), ALE would, at a minimum, maintain sole control over the tax-exempt aspects of the Joint Venture and would have voting and ownership interests in the Joint Venture that are consistent with ALE’s capital contributions;
- A requirement that any subsequent contract with ALE’s partner in the Joint Venture be negotiated at arm’s length and for fair market value;
- A requirement that the Joint Venture give priority to ALE’s tax-exempt purposes over maximization of profit for the participants of the Joint Venture; and
- A prohibition on activities that would jeopardize ALE’s tax-exempt status.

Where there is any question as to whether a particular Joint Venture may pose a risk to ALE’s tax-exempt status, a decision to enter into such Joint Venture will be made only in consultation with legal and/or tax counsel.