

CAE Commission

Standing Rules and Policies

CAE Commission Standing Rules and Policies as of July 2019

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Vision:
Every association recognizes the value of the CAE Program to achieve excellence.

Mission:
The CAE Program establishes competencies for association excellence and certifies individuals who have mastered the CAE body of knowledge.

Diversity Statement:
The CAE Commission is committed to diversity and equality in all activities. The CAE Commission, in both its values and practices, is committed to providing the association community with credentialing practices that are based on inclusion and diversity.

This means that there shall be no barriers to participation in any activity of the Commission on the basis of gender, race, creed, age, sexual orientation, national origin, religion, or disability.

The Commission will seek diversity and inclusiveness in its business practices and it will not condone any form of unlawful discrimination.

The CAE Commission recognizes and values the diverse skills, perspectives and experiences of the association community and believes inclusiveness enhances the Commission's ability to serve this community.

CAE Overview

The CAE exam is designed to identify association professionals who have the knowledge to serve in the executive director role of a U.S.-based organization of any type or size.

Standing Rule #1 Purpose, Composition and Meetings
Revised: May 2007
February 2009
May 2009
March 2011
November 2011
June 2015
May 2016
July 2019

Purpose and Name: The CAE Commission is an independent certifying body of ASAE. The CAE Commission awards the Certified Association Executive (CAE) credential and is responsible for setting policy and standards related to the CAE Program.

Composition: The Commission is composed of up to fourteen voting members that represent primary stakeholder groups as defined by the Commission: CAEs, ASAE membership, and the public. Each stakeholder interest is represented on the Commission. Thirteen Commissioners represent CAEs and have earned and maintained the CAE designation, are currently employed by a qualifying organization or meet in lieu of employment criteria (as defined in Policy 7), and represent the diversity of the association industry. As outlined in the ASAE Agreement of Support (Appendix B), one member shall be nominated by the ASAE Chairman to represent ASAE membership. That nominee must meet all of the eligibility requirements for service by a CAE on the Commission and shall be approved by the Commission Officers.

One member shall be a non-CAE consumer/public member selected according to criteria outlined in the standards of the National Commission for Certifying Agencies. The consumer/public member's role is to bring a perspective to the decision-making of the CAE program that is broader than the certificants' and to help balance the program's role in protecting the public while advancing the interests of CAEs. The public/consumer member represents the public/consumer interests; brings new ideas and goals to the CAE Commission to ensure the public's interest is valued; contributes an unbiased perspective; encourages consumer-oriented positions; and brings additional public accountability and responsiveness. The public member shall be an individual who represents the direct and indirect users of CAE skills and services; who has served or is serving in a volunteer capacity; and who is interested in ethical, professional behavior on the part of association executives. The public member shall not be/have:

- A current or previous association executive.
- A supervisor, manager, direct co-worker, or an employee or subordinate of an association executive or individuals in association management other than individuals serving in a volunteer capacity for those organizations defined as "qualifying organizations" in the CAE policies.
- An employee of an individual certified as a CAE, or an employee of an employer of individuals in association management or associations.
- A person who currently receives or within the last five years has received income from the profession encompassed by the certification program.
- Worked for or provided contract services to the CAE Commission or ASAE at any time during the five years preceding his or her appointment as a public member.

Selection: Commission members are selected by the Commission Officers based on nominations brought forth. Nominees must fully comply with Commission member requirements as established by the Commission. A call for nominations for the CAE members of the Commission shall be conducted in conjunction with ASAE's call for volunteers. In addition to the information solicited by ASAE, those interested in serving on the Commission may be asked to submit a completed form and questionnaire developed exclusively for service on the Commission. The nominee information, including demographic and ASAE and CAE engagement information is reviewed and considered by the incoming Commission Officers. The incoming Chair, with the assistance of the incoming Chair-Elect and outgoing Chair, confirms the final selections.

Officers: The Chair, Chair-Elect and Immediate Past Chair shall serve as the officers of the Commission. The officers shall set meeting agendas, and between meetings of the Commission shall dispose of day-to-day matters involving interpretation of policies previously approved by the Commission. Officers shall serve for a one-year term.

Election of Officers: The CAE Commission Chair-Elect is elected by the CAE Commission through majority vote at the spring meeting. In case of a tie vote, the Chair's vote will be counted. Nominations for Chair-Elect shall be submitted to staff on the proscribed form. Commissioners may self-nominate or nominations may be submitted by any Commissioner.

Term: Members of the CAE Commission serve for a one-year term, renewable each year for a total not to exceed four years. Commissioners elected as Chair or Chair-Elect may continue to serve if fulfilling their terms as an officer. The ASAE representative serves a one-year term.

Resignation or Removal: Commission members may resign for any reason. The Chair of the Commission shall appoint a new Commissioner to complete the remainder of the term.

A Commission member may be removed from office for failure to perform the duties required of Commissioners by a 2/3 vote of the Commission. The Chair of the Commission shall appoint a new Commissioner to complete the remainder of the term.

Staff: The ASAE Director of Credentialing and is responsible for the implementation of the policies established by the CAE Commission.

Meetings: The CAE Commission meets at least three times each year.

Quorum: At any meeting of the Commission, a majority of the voting members shall constitute a quorum.

Votes of Commission: Revisions, additions or deletions of standing rules require a two-thirds (2/3) vote. Revisions, additions or deletions of policies require a simple majority vote.

Rules of Order: Unless otherwise specified, governance of the Commission shall be conducted according to parliamentary procedures as outlined in Robert's Rules of Order, Newly Revised.

Vacancies: In the event that a current Commission member cannot complete his or her term, the Chair of the Commission may appoint a new Commissioner to fulfill the term. In the event of a vacancy in the Chair position, the Chair-Elect shall assume the duties. In the event of a vacancy in the Chair-Elect position, an election will be held.

Standing Rule #2	Commission Responsibilities
Revised:	November 2008
	February 2009
	May 2009
	June 2015
	July 2019

Responsibilities of the CAE Commission and its commissioners include:

1. Set the strategic direction for the CAE Program.

2. Act to assure fiduciary responsibility to the CAE Commission.

3. Establish, monitor and revise, as needed, the standing rules, policies and procedures related to the CAE Program. All standing rules and policies shall be reviewed annually and published [made publicly available] on the CAE website with the exception of those polices the release of which could potentially jeopardize the security or integrity of the examination or the security or integrity of the program.

4. Initiate periodic job analysis studies and utilize the results to keep the CAE examination specifications current.

5. Develop, monitor and revise, as needed, the CAE initial and renewal application criteria and forms.

6. Approve the passing score for each exam.

7. Set examination development and administration policies within accepted psychometric practices.

8. Establish dates and set fees for the CAE examination and program.

9. Ensure certification program staff adequately monitor CAE exam administrations for the purpose of policy compliance and quality improvement.

10. Respond to concerns and recommendations by CAE candidates and certificants about the CAE Program.

11. Confer CAE designation on qualified candidates and revoke designation as appropriate.

12. Hear appeals brought before the Commission based on established policy.

13. Attend CAE Commission meetings and serve on committees and task forces or in other official functions as requested by the Commission Chair.

14. Actively promote the CAE Program.

Standing Rule #3 Committees
Revised: February 2008
November 2011
May 2016

Standing Committees: Standing Committees are formed by the Commission and have continuing duties and/or responsibilities to consider and/or act on in certain matters related to the purposes of the CAE Commission. These Standing committees shall be named and their specific purposes and responsibilities enumerated in the Policies and Procedures. Standing Committees may appoint subcommittees to carry out the work of the committees.

Task Forces: Task Forces are formed by the Commission to consider specific matters and/or complete specific tasks related to the purposes of the Commission and not otherwise assigned to standing committees. Task Forces are dissolved upon completion of their tasks.

Selection: Standing Committee Chairs shall be approved by the Chair of the Commission in consultation with the past standing committee chair and staff. Task Force Chairs shall be appointed by the Chair of the Commission and do not require approval of the Commission. Committee or Task Force members shall be appointed by the Committee/Task Force chair with approval of the Chair of the Commission. Committee or Task Force chairs or members may be Commission members or CAE volunteers. Committee or Task Force members are appointed for a one-year term, which may be renewed up to three (3) times. Committee appointments are staggered with approximately one-third of the committee members replaced each year.

Those interested in serving on a CAE Committee or in a volunteer capacity must submit a Volunteer Service Form outlining their experience and their desire to serve.

Policy # 1 Subject: Volunteer Confidentiality and Security
Date Adopted: July 2001
Revised: February 2003
July 2003

February 2008
May 2009
June 2015

As the CAE Commission administers a certification program, CAE Commission members, committee members and volunteers will at times learn of confidential or sensitive information regarding CAE applicants or certificants including, but not limited to, such information as test scores, disciplinary actions and academic performance. This information is to be kept confidential and secure in perpetuity and should only be discussed when necessary with other Commission or Committee members or staff or as necessary in the context of a disciplinary proceeding. All Commission members, committee members and volunteers with access to such information shall sign a security/confidentiality agreement prior to commencing service on or for the Commission and shall retain Commission information only so long as necessary to complete any required tasks. Security/confidential agreements will be retained by the CAE Program.

1. The agreement will require these individuals to maintain in strict confidence any and all information related to commission discussions and decisions unless prior approval is given by the Chair or such information is made publicly available. This confidential information includes (but is not limited to) information related to the following:
    - Applicants and Applications, both new and renewal
    - Commission decisions and actions related to applications.
    - Commission finances
    - Item bank and exam development
    - Disciplinary actions and appeals

    Certification applications and candidates' performance on the CAE examination shall remain confidential unless otherwise stipulated by the examinee or as required by law. The CAE Program will release exam application and pass/fail information to the applicant only and only in writing.

    The exceptions to this are the published list of CAEs that the Commission makes available to the public and confirmation of CAE status. This statement does not preclude the publishing of any certificant's name against whom disciplinary action has been taken.

2. All such confidential information shall be maintained in a safe and secure place, such as a locked file drawer or a protected electronic file. Reasonable steps will be taken to protect against inadvertent disclosure or theft of the information.

3. Upon termination of service with the Commission or one of its entities, the individual will destroy any confidential information received or acquired relating to the certification program and confirm the destruction with CAE Program staff.

4. Any work done by an individual on behalf of the Commission is a work for hire and belongs to and remains the property of the Commission.

5. Volunteers involved in examination development (including subject matter experts) will be given limited access to confidential exam materials as needed to perform their exam development duties. All volunteers will sign a nondisclosure agreement prior to being granted access to any confidential materials.

Policy #2 Subject: Conflict of Interest
Date Adopted: May 2009
July 2019

All Commission volunteers, proctors, subject matter expert volunteers, and staff agree not to engage in actions which may constitute an actual, apparent, or potential conflict of interest with the mission and activities of the Commission, and will execute a conflict of interest statement. On such a conflict of interest statement, the individual will notify the Commission of any such

conflicts of interest and any business, financial, personal, and/or organizational interests and affiliations which are or could be perceived to be a conflict of interest.

During service and for a period of at least two (2) years after involvement in activities of the Commission or its entities, including volunteer service as a SME or proctor or employment on behalf of the Commission, the individual will not take the CAE exam or become directly involved in any preparation or presentation of instructional materials or programs designed to prepare persons to complete the certification process.

CAE Commission members, proctors, and subject matter expert volunteers agree to not serve on the ASAE Board or ASAE educational committees.

Commission members will disclose to the Commission leadership or CAE Program staff any such conflicts of interest and any business, financial, personal, and organizational interests and affiliations which are or could be construed to be a conflict of interest. Commissioners agree to recuse themselves from participation and deliberation on matters involving an entity with whom the volunteer has a significant conflict of interest.

Policy #3 Subject: Commission Meetings
Date Adopted: September 1991
Revised: February 1996
February 2003
April 2004
January 2007

The CAE Commission meets at least three times each year and holds teleconferences as needed. At each full Commission meeting, the Commission should be provided the most recent available financial statement reflecting year-to-date operations and previous year-end figures. The Commission meetings are open to the public except when activities or discussions pertain to test content or items, standard setting, or appeals or when an executive session is called by the Chair. Minutes should reflect any actions taken in executive session.

Policy # 4 Subject: Public Disclosure
Date Adopted: April 2004
Revised: May 2009

CAE Commission policies will be made publicly available with the exception of those polices the release of which could potentially jeopardize the security or integrity of the examination or the security or integrity of the program.

Policy # 5 Subject: CAE Committees
Revised: February 2008
November 2008
May 2009
November 2009
November 2011
May 2014
June 2015
July 2019

Communications: Committee chairs shall be responsible for the submission of written committee reports.

Confidentiality: All committee members are required to sign a confidentiality agreement annually. The Commission Chair-Elect is responsible for distribution and receipt of the forms. The forms will be kept on file in the CAE department office. Task force members who are not members of the Commission are required to sign a confidentiality agreement before commencing service on a task force.

Certification Status: Individuals who serve as volunteers and who are eligible for certification as a CAE must attain and maintain a CAE credential.

Duties: The duties of committee members shall be described in committee position descriptions. Task Force member duties are defined in the creation of the task force. All committee and task force members will abide by the CAE Standing Rules and Policies and Procedures.

Standing Committees

Pursuant to CAE Commission Standing Rule #3, standing committees are formed by the Commission and their specific purposes and responsibilities are to be enumerated in the Policies and Procedures.
The Commission's standing committees are: Examination Committee, Item-Writing Committee, Appeals Committee, and the Professional Conduct Committee.

Examination Committee

Purpose: The CAE Examination Committee is responsible for reviewing and editing examination questions and making the final selection of items that comprise each test form. The Exam Committee is also responsible for monitoring the items in the CAE item-bank and for retiring existing items or recoding them to appropriate references.
Composition: The Exam Committee shall be composed of 12-15 subject matter experts who reasonably represent the diversity of the certificant population.
Recruitment, Selection, and Terms: The CAE Exam Committee is led by a chair that serves a one-year term. Each committee member is appointed for a one-year term and may be re-appointed for three consecutive terms in a non-officer position. Committee members are selected by the incoming Exam Committee Chair based on needed skills, expertise, and demographics from the nominees brought forth in an open call for volunteers.

Item-Writing Committee

Purpose: The CAE Item-Writing Committee is responsible for drafting proposed CAE items on an ongoing basis and coding each item to an appropriate reference.
Composition: The Item Writing Committee shall be composed of 12 – 25 subject matter experts who reasonably represent the diversity of the certificant population.
Recruitment, Selection, and Terms: The CAE Item Writing Committee is led by a chair that serves a one-year term. Each committee member is appointed for a one-year term and may be re-appointed. Committee members are selected by the incoming Item Writing Committee Chair based on needed skills, expertise, and demographics from the nominees brought forth in an open call for volunteers.
Training: Item writers will receive training in item-writing workshops. Methods of addressing and eliminating bias will be addressed during the workshops. Included in the training will be information on source of bias and the impact of item bias on the fairness and psychometric integrity of the exam. Various types of bias will be addressed in the workshops, including gender, racial and ethnic bias, and bias in terms of association type.

Appeals Committee

Purpose: The Appeals Committee is responsible for receiving and considering appeals related to the examination process as provided for in the policy relating to Due Process.
Composition: The CAE Appeals Committee is comprised of five former CAE Commission members.
Recruitment, Selection, and Terms: The CAE Appeals Committee is led by a chair that serves up to a two-year term. Each committee member is appointed for a one-year term and may be re-appointed. Committee members are selected based on needed skills, expertise, and demographics from eligible former CAE Commissioners.

Professional Conduct Committee

Purpose: The Professional Conduct Committee is responsible for investigating, deliberating, and bringing to resolution, according to the Rules and Policies, all complaints against Certificants.

Composition: The Professional Conduct Committee shall be composed of 6 – 12 individuals who reasonably represent the diversity of the certificant population.

Recruitment, Selection, and Terms: The CAE Professional Conduct Committee is led by a chair that serves a one-year term. Each committee member is appointed for a one-year term and may be re-appointed for three consecutive terms in a non-officer position. Committee members are selected by the incoming Professional Conduct Committee Chair based on needed skills, expertise, and demographics from the nominees brought forth in an open call for volunteers.

Policy # 6	Subject:	Examination Development
	Date Adopted:	March 1994
	Revised:	February 1996
		February 2003
		February 2009
		June 2015
		May 2016
		July 2019

All individuals involved with examination development shall follow established security and confidentiality measures as outlined in the Item-Writing Handbook. Concerns regarding a breach of this policy should be reported to the Chair of the CAE Commission or the Director of Credentialing. If the concern involves the Chair of the CAE Commission, the concern should be reported to the Chair-Elect or the Director of Credentialing. Concerns regarding a breach shall be investigated in accordance with established procedures.

A job analysis study of the association management profession will be performed no less frequently than every five years, due to the rate of change and adoption of new practices in the profession. The changes in the exam content outline are typically minimal and are based on changes of importance levels of domains and word usage that has evolved in the previous five years. The study findings will serve as the foundation for the examination specifications. The examination specifications will be reviewed by the CAE Examination Committee and any necessary adjustments will be recommended to the Commission for review and approval.

A body of literature aligned with the examination content outline will be identified by the CAE Commission and designated as the Core Resources. The CAE Commission will ensure that the Core Resources list shall be reviewed periodically and in conjunction with the Job Task Analysis and revised at that time if appropriate.

Items written for the CAE examination item bank should be properly referenced to a current item from the CAE Core Resources. The reference source is no older than the oldest reference on the Core Resources.

In addition to the core resources, CAE exam items can be referenced to any ASAE-curated knowledge. ASAE-curated knowledge is defined as information published or disseminated by ASAE such as books sold in the bookstore, articles published in Associations Now, or published in ASAE newsletters.

All examination forms will be assembled in accordance with the examination specifications. New forms are developed and launched for each administration (twice per year.)

All test questions shall undergo a preliminary question analysis prior to release of the test results. Any question that does not meet accepted statistical criteria shall be reviewed by the CAE Examination Committee, which will determine whether the item should be: (a) scored “as is,” (b) scored with an alternate key(s), or (c) scored as correct for all responses.

The passing standard shall be set using a criterion-referenced methodology. The CAE Commission will approve the passing score.

Whenever examinee volumes permit, equating will be used to maintain the passing standard across different examination forms and to statistically adjust scores, as necessary, to compensate for differences in difficulty across examination forms.

Policy # 7	Subject:	CAE Assessment System and Renewals
	Date Adopted:	April 1991 (entitled Becoming a CAE)
	Revised:	February 1996 (entitled Becoming a CAE)
		February 2003
		May 2007
		October 2007
		February 2008
		February 2009
		May 2009
		November 2009
		May 2010
		June 2011
		November 2011
		January 2012
		May 2014
		January 2015
		June 2015
		May 2016
		May 2018
		July 2019

The CAE assessment system includes an eligibility application, a multiple-choice test, and a renewal application.

Eligibility

Candidates must submit an application that documents fulfillment of requirements in formal education, professional (work) experience, professional conduct, and professional development as follows:

1. Professional Experience and Employment

Candidates must document sufficient professional experience at a qualifying organization: either one year of experience at the CEO or C-suite level , or five years of experience as a staff member. Candidates must be currently employed with a non-profit organization – a trade association, professional society, individual membership organization, philanthropic organization, tribal organization – or an association management company (“a qualifying organization”); OR they must have been employed within the five years prior to application in such a qualifying organization. A for-profit service corporation, wholly owned by a qualifying organization is a qualifying organization.

An individual working full time for an association in the role of an association staff, who is not an employee, is to be considered an employee for the purposes of the CAE exam application. (i.e. Those who are employed by a PEO or and as an independent contractor and 100% of their work time is devoted to the association(s).

In lieu of employment at a qualifying organization, an applicant may have ten years paid service as an employee, independent contractor, or consultant with demonstrated professional involvement within the association community by providing services as defined by the CAE exam content outline or five years of such service if substantially all of their work is devoted solely to qualifying organizations.

2. Education

Candidates must have either received a bachelor’s degree from an accredited institution of higher learning or its equivalent or they must have completed eight years of full-time work experience equivalency. A combination of college education and work experience equivalency is allowed. For purposes of determining work experience equivalency, two years of full-time work experience will be considered as the equivalent of one year of full-time education at an accredited institution of higher learning.

3. Professional Conduct

Candidates must agree to adhere to the ASAE Standards of Conduct and attest that they have not been convicted of a felony related to the practice of association management as defined by the body of knowledge; and that s/he has not been convicted of a felony related to employment or contractual engagement by an association. Candidates must disclose all felony convictions to the Commission. If the Commission determines the felony was related to the practice of association management or to employment or contractual engagement by an association the candidate may be ineligible.

4. Professional Development

Within the five (5) years preceding application, candidates must have completed 100 hours of qualifying association management related professional development activities. "Qualifying association management related professional development" refers to professional development activities outlined below or in CAE Policy #8, "Self-Study Program Eligibility for CAE Credits" that address one or more areas of the Exam Content Outline.

Educational program delivery may be through face-to-face instruction, real-time audio conference (with or without web casting), or online facilitated (a)synchronous courses or eligible courses offered by a CAE Approved Provider. CAE Policy #23 "CAE Approved Provider" outlines the program and its requirements. CAE Policy #8 "Self-Study Program Eligibility for CAE Credits" outlines criteria for educational materials used for individual, self-paced study.

Acceptable professional development activities include:

- Live conferences, workshops, seminars, or classes (including face-to-face, audio/videoconference, and online delivery) offered by ASAE, societies of association executives, CAE Approved Providers, the U.S. Chamber of Commerce's Institute for Organizational Management, or other providers earn CAE credit for actual clock time of qualifying education including partial hours, up to a maximum of 8 CAE credits per day. (Ex. 1 ½ hours of qualifying education equals 1.5 CAE credits.)

- College or university courses (e.g., face-to face, independent study/correspondence, online) taken for academic credit at a U.S. accredited academic institution earn (e.g., a three-credit semester course earns 45 CAE hours.)

  Hours Approved:
  15 hours per earned semester credit
  14 hours per earned trimester credit
  10 hours per earned quarter credit

- Preplanned in-depth group study of specific association management topic(s) with interaction between a minimum of three participants from different organizations earn 1 CAE credit for each clock hour, up to a maximum of 20 hours per CAE application.

Candidates or certificants receiving mentoring or coaching specifically focused on the field of association management and representative of the exam content outline for a minimum of 10 clock hours can qualify for up to a maximum of 10 CAE credits of the required education for the exam or renewal application. Two hours of received mentoring or coaching equals one CAE credit, up to a maximum of 10 CAE credits. (example: 10 hours being mentored = 5 CAE credits) The individual providing mentoring or coaching must be a CAE. As verification, candidates will complete a designated form, to be signed by the mentor or coach.

ASAE employees who are eligible for the CAE exam, and have no access to the exam items, may sit for the exam. Staff who have access to the exam are not eligible to take the exam during the time they have access to exam items and for a period of at least two years after access ends.

Once an eligibility application is approved, a candidate is eligible for a one (1)-year period.

Eligibility Rationale

The eligibility requirements together provide a reasonable assurance that applicants for the certification have the experience and knowledge needed to take and be successful at the exam.

1. Professional Experience and Employment: The years of experience and employment at a qualifying organization provide a base and background to understand the management, governance, leadership, and other aspects of leading an association. More time is required at levels other than the CEO and C-suite positions, as individuals at other levels may deal directly with their specialty area and would need more time to be exposed to multiple areas and levels.
2. Education: The bachelor's degree requirement or equivalent would typically be required for senior-level positions at qualifying organizations.
3. Professional Conduct: ASAE members and CAE applicants commit to work in accordance with ethical standards and to encourage the development and implementation of the ethical standards within the industries and professions represented by its members. The Standards of Conduct describe the conduct that individuals strive to uphold as ASAE members and as CAEs.
4. Professional Development: The number of credits of professional development are required as a base of knowledge in the competency areas listed in the exam content outline. The five-year timeframe was established to allow applicants enough time to complete the requirements while keeping abreast of current best practices.
5. Examination: The examination is a standardized assessment that is used to ensure that certificants possess professional knowledge and skill at the level that is required for certification. The content of the CAE examination is determined by means of a practice analysis study.

Eligibility Verification

1. Professional Experience and Employment: Applicants verify their experience and employment history by submitting a signed attestation. The attestation is deemed sufficient as many applicants' employment history is in their applicant record; the information could be verified if questioned.
2. Education: Applicants verify their education by submitting a signed attestation. Most applicants who meet the employment requirements will have needed a bachelors degree or equivalent work experience to attain their current or recent qualifying employment.
3. Professional Conduct: Applicants attest to their agreement to adhere to the code of conduct. The requirement for adherence to the code of professional conduct provides increased awareness of expected ethical behaviors as well as increased public protection through a process that provides a reporting and investigation mechanism for violations.
4. Professional Development: Credentialing staff review each professional development submission to confirm that the content, activity, and credit requirements are met. The professional development requirement ensures that applicants have education specific to association management. The requirement that professional development activities are completed within the five years prior to application provides assurance that the association related knowledge is up-to-date.

Testing

After being determined eligible, candidates must pass a 200-item multiple-choice exam administered in a single four-hour time frame. Within approximately six to eight weeks of sitting for the examination, candidates are notified by mail in writing of their results. For security reasons, results will not be given over the phone or sent by fax or email.

Certification Period

After successful completion of the exam, candidates become certified for a period of up to 3 years ending on the third December 31st after the date certification is awarded.

Retesting

Candidates that fail the examination may re-take the exam during the next test date with a valid application, for a maximum of two attempts per year. Candidates retaking the examination within their one-year eligibility shall submit a re-examination fee. The two scheduled test dates per year increase the security of test administrations by limiting item exposure.

Hand Scoring

A candidate may request a hand-score of his or her answer sheet. Requests must be made in writing postmarked no later than 30 days after notification of results and must include the applicable fee. A notice of the hand-score will be sent by certified mail to the candidate within 30 business days of receipt of the request. The results of the hand-score will be final.

Renewal

In the judgment of the Commission, certification renewal is required every three (3) years due to the rate of change in the profession, professional practices and standards affected by technological changes, and the need to stay current in association practices and maintain knowledge. Renewal applications or inactive status requests must be submitted by December 31 of the year of certification expiration. Fees are reduced for renewal applications submitted by October 31.

As outlined below, the renewal application documents 1) ongoing adherence to professional conduct requirements and 2) completion of professional development activities, or a combination of professional development activities and contributions to the profession:

- Renewing certificants must have completed a minimum of 40 credits of association management related professional development, or a minimum of 30 credits of association management development plus 10 credits of qualifying leadership, authorship, and teaching activities contributing to the profession of association management. Qualifying leadership activities include volunteer service as a chairman, Chair-Elect or officer for committee service to a qualifying organization other than the applicant's employer.
- Certificants providing mentoring or coaching specifically focused on the field of association management and representative of the exam content outline for a minimum of 10 clock hours can qualify for up to a maximum of 10 CAE credits towards renewal under the professional development category. Two hours of mentoring or coaching equals one CAE credit, up to a maximum of 10 CAE credits. (example: 10 hours providing mentoring = 5 CAE credits)
- When renewing for the first time, applicants may include qualifying CAE credits not previously submitted for CAE credit provided they have been completed less than three (3) years prior to the certification expiration date.
- Renewal applicants must again agree in writing that they will adhere to the ASAE Standards of Conduct and they must re-attest that they have not been convicted of a felony related to the practice of association management.
- Professional development submissions are approved if they are within the renewal cycle and directly related to one or more competencies in the CAE exam content outline. Credentialing staff review each submission. Education from ASAE is verified by staff. Staff may request additional documentation for education from CAE Approved Providers or other sources to verify participation and confirm credit eligibility.

Inactive Status

Inactive Status is available to CAEs who do not meet their renewal eligibility requirements, but who do not wish to permanently lose their certification status.

Inactive status provides CAEs with a three-year period beyond their period of active certification in which to meet their renewal eligibility requirements.

<u>While an individual's status is inactive, the CAE credential and designation MAY NOT be used.</u>

To apply for inactive status, certificants must complete the appropriate form and pay the inactive status fee. Applications must be received prior to the end of the certification period for the request to be honored. Applicants may not apply for consecutive inactive status.

Reactivation

The CAE certification may be reactivated at any time during the inactive period as long as the renewal requirements are met. Reactivation will be approved by meeting the renewal requirements including payment of appropriate fees and fulfilling professional development or activities requirements or by re-examination. Professional development credits must be accrued within the three years leading up to the resumption of certified status.

Policy #8 Subject: Self-Study Program Eligibility for CAE credits
Date Adopted: August 2005
Revised: October 2006

November 2012

An educational program used for individual, self-paced study may be recognized for CAE credits if it meets the following criteria:

- The program must be suitably recent, as defined by the oldest reference included in the CAE Core Resources.
- The program must have clearly identified learning objectives linked to the CAE Exam Content Outline.
- It must include an interactive component such as quizzes, post-tests, or other learning assessment exercises or activities by which participants apply and demonstrate comprehension of the covered content areas.
- The program must meet recognized standards for effective self-study programs.

Proof of completion (i.e. a certificate of completion) must be submitted with the application. Self-study credits may only account for one-half of any applicant's education hours.

Policy #9 Subject: Reasonable Accommodations Pursuant to the ADA
Date Adopted: February 2003
Revised: May 2014
May 2016
July 2019

Accommodations for testing shall be provided without charge to candidates who provide proof of 1) a disability as defined by Title III of the Americans with Disabilities Act, or 2) special medical needs. A written request with a written explanation of the candidate's required accommodation specific to the CAE exam and detailed supporting medical documentation from a qualified medical professional for this specific purpose, detailing the needed accommodation given the format and nature of the exam, must be submitted no later than the time of exam date registration.

The CAE Program will endeavor to furnish the requested accommodations, provided that the request is made by the time of registration, and that the accommodation would not fundamentally alter the measurement of the skills or knowledge the examination is intended to test, and would not result in an undue burden.

CAE Program staff will review requests and will either: approve or deny based on documentation provided and requested accommodation(s) based on applicable laws and CAE administration and security policies; ask the candidate for further information in order to make a determination; or refer to the CAE Commission for guidance.

CAE Program staff will confirm that the selected test site will be able to provide the approved accommodation(s) and send the specified accommodations to the test site and proctor(s). Staff will confirm the test site location and approved accommodation(s) with the candidate.

Policy # 10 Subject: Examination Administration and Security
Date Adopted: April 2004
Revised: February 2009
May 2009
October 2010
November 2011
May 2014
June 2015

1. The CAE examinations are administered twice per year.

2. Candidates are notified of examination registration options at least six weeks prior to the examination. Candidates must register for the examination.

3. A candidate who arrives at the designated examination site after the proctor has begun reading the examination instructions may not sit for the examination on that date.

The CAE exam is administered at regularly scheduled regional examination centers throughout the U.S. on the first Friday in May and the first Friday in December beginning at 9:00 a.m. local time.

Criteria for CAE examination centers

The host facility must meet the following criteria:

A. Provide for necessary security during receipt and storage of exam materials.
    1. It must be able to receive overnight, trackable shipments during regular business hours.
    2. All examination materials must be secured in locked storage or supervised from the time of receipt until the time of return.

B. Provide suitable building facilities.
    1. The examination center must conform to ADA requirements and local building codes, including the ability to accommodate candidates with special medical or disability needs.
    2. Restrooms must be located in the same building as the examination room and be clean, supplied, and in working order.

C. Provide a test room with:
    1. Secure access
        a. Examinations must take place in an access-restricted separate room that has a lockable door and that is free from any other activity during the test period.
        b. The examination room must allow an unobstructed view of each candidate by an in-room proctor (or professional testing surveillance system, if applicable.)
    2. Adequate space
        a. The examination room must be large enough to provide adequate table space for each candidate, a separation of three feet between candidates, and aisle space between and around each table for proctor observation.
        b. It is preferable that all candidates be seated facing in the same direction.
        c. The examination center must provide a diagram of the room and tables for planning purposes.
    3. Suitable furniture
        a. The examination room must have tables at least 18” wide, with flat and adequate writing surfaces (i.e., “tablet” style tables are not allowed).
        b. The examination room seating should be movable and reasonably comfortable for an adult candidate.
    4. An environment conducive to testing
        a. The examination room should provide a calm testing environment, free of distractions.
        b. The examination area should be reasonably sound proof and located so candidates will not be disturbed by foot traffic, loud conversation or outside noise.
        c. Windows and glass walls must have appropriate shading options.
        d. The examination room must be well ventilated and provide continuous air circulation and a consistent, comfortable temperature without the need to open windows.
        e. The examination room must have adequate lighting so that candidates can read all materials without difficulty.

D. Be reasonably accessible to the general public.

1. The location should be reasonably convenient in terms of regional access by car or public transportation.
2. Adequate parking should be available at the time of the examination if candidates are expected to arrive by car. Every effort should be made to ensure that costs and parking policies are reasonable.
3. The facility should be relatively easy to locate and access.

Individual candidates located further than 120 miles from a scheduled examination site may identify and arrange for a professional examination center that meets Commission-approved standards for the established examination date and time. The candidate is responsible for making all such arrangements as well as for covering any associated costs. The candidate will also pay the applicable administrative fee to the CAE Program at the time of application.

Stakeholder groups may also petition for the establishment of an examination center on the scheduled examination date and time, provided they guarantee a minimum of 3 candidates. In the event of fewer than 3 registrants or cancellations that reduce the number of test takers below the 3 candidate minimum, the CAE Program reserves the right to cancel the test location and provide alternate testing options to candidates including a professional testing center or the next scheduled test date.

Requests for an examination site must:

- Be made at the time of application, accompanied by completed applications for new candidates, or exam registration requests for previously approved candidates.
- Identify an examination facility that meets the Commission's criteria for examination centers and is located a minimum of 120 miles from all scheduled examination sites for that examination date.
- List an appropriate number of suggested proctors who meet the selection criteria and who have expressed a willingness to proctor the exam. (See Policy 12, Proctor Criteria.) The sponsoring organization and/or applicants are responsible for any costs incurred for the examination center and proctors. Approved examination centers will be added to the published schedule of exam locations and must accommodate additional candidates to the extent that space and proctor services allow.

Examination administration and security procedures shall be provided in writing to all candidates prior to the examination. The Commission shall take appropriate action regarding any reported violation of the examination administration and security policies as outlined in policies.

Policy #11	Subject:	Testing Arrangements for Extraordinary Circumstances
	Date Adopted:	July 2002
	Revised:	February 2003
		November 2008
		May 2009
		October 2010
		May 2014

If a candidate is unable to arrive at a designated exam site because of inclement weather, terrorist acts, or a natural disaster, then the candidate has the option of taking the examination at the next administration without being charged an additional fee.

If a designated examination site is rendered unusable because of inclement weather, terrorist acts, a natural disaster, then the examination will be rescheduled within a specified period of time.

The decision to cancel a site will be made by the CAE Commission Chair based on proctor input.

Policy #12 Subject: Proctor Criteria and Training
Date Adopted: March 1994
Revised: February 1996
February 2003
July 2003
April 2004
February 2009
May 2009
November 2011
May 2016
July 2019

1. Proctors who are practicing in the field of association management must be CAEs.

2. Proctors must comply with requirements and be approved by the Director of Credentialing.

3. There must be a minimum of two (2) proctors per test site for up to 20 test takers. For each additional 1 to 10 test takers over 20, there must be one (1) additional proctor.

4. Proctors should follow established examination administration policies as outlined in the Proctor Manual.

5. CAE Program staff will conduct a mandatory proctor training session prior to the exam date, including the following:
    - Examination administration practices
    - Procedures for providing approved ADA accommodations
    - Procedures for responding to violations of examination administration practices
    - Examination security policies
    - Procedures for responding to violations of examination security policies by candidates or proctors during an examination
    - Procedures for reporting violations of examination security policies that could reasonably result in a candidate receiving an unfair advantage on the examination
    - Procedures for reporting complaints regarding suitability of test sites and any situations of excessive disturbances or noise that is detrimental to exam performance.

6. The following individuals are not eligible to serve as proctors:
    - Current members of the CAE Commission
    - Current members of the CAE Appeals Committee
    - Current members of the CAE Examination Committee
    - Current members of the CAE Item Writing Committee
    - Current members of the CAE Professional Conduct Committee
    - Current review course instructors
    - Anyone who has a familial or an employment relationship with any candidate at the specific administration site of the examination.

7. On exam day, if an irregularity occurs, quietly but firmly remind the candidate of the examination instructions. If the irregularity is significant or repeated, be sure to note both the observed activity and the candidate(s) involved on the proctor irregularity report. If an environmental irregularity occurs, e.g. fire alarm, secure exam room and escort all candidates to a safe location. Make sure the room is locked. Escort candidates back to room when incident has concluded. Note time that test was interrupted and when it began again. Please call ASAE credentialing staff on exam day for further directions.

8. Prior to exam day, ASAE credentialing staff will alert proctors to any candidates with approved accommodations. The proctors or professional testing center will ensure that the approved accommodations are carried through on exam day.

Policy #13 Subject: Fees
Date Adopted: April 1991
Revised: February 1996
February 2003
May 2014

The Commission shall set all fees and review them annually. A schedule of fees is attached as appendix B to the policy manual.

Initial Application
All CAE applicants must pay the initial application fee. If and when an applicant is determined not eligible to sit for the exam, a refund of the initial application fee less a non-refundable processing fee shall be made.

Examination Fee
The initial application fee includes the examination fee for those candidates who register and take the CAE examination within one (1) calendar year of application acceptance. Candidates who take their (first) examination more than one year after application must pay a separate examination fee.

Renewal
The non-refundable processing fee for CAE renewal is due when the Renewal Application is submitted at the end of each certification period.

Policy #14 Subject: Use of the Certification Title and Initial Designation
Date Adopted: April 1991
Revised: February 2003
July 2003

Individuals who are currently certified may use the title "Certified Association Executive" and the designation "CAE".

The title and designation may not be used to imply that an association or firm is certified.

Use of the title and designation by individuals who have not been awarded the certification or who have failed to maintain their certification is expressly prohibited.

The designation "CAE" is a trademarked property and its use is subject to approval by the CAE Commission.

Policy #15 Subject: Revocation or Other Disciplinary Actions
Date Adopted: March 1994
Revised: February 1996
February 2003
April 2004
November 2007
November 2008
May 2009
February 2013

A Certificant may have his/her certification revoked or other disciplinary action taken for violation of CAE Program policies including:

- Conviction of a felony relating to professional practice in the field of association management;
- Violation of examination procedures or security;

- A material misstatement on an application for initial certification or renewal application or in any of its representations to the Commission, or other information related to professional practice, whether intentional or unintentional;
- Misrepresentation or improper use of the credential;
- The Certificant does not pay program fees on a timely basis.

In addition to the above violations, a Certificant may have his/her certification revoked or other disciplinary action taken for specific enforceable behaviors.

1) CAE Code of Professional Conduct. A CAE may be subject to discipline for the following:

a) Knowingly violating the law in the course of the CAE's professional activities, including, but not limited to fraud, embezzlement, misappropriation of property, or unlawful discrimination. Allegations of violations of this section must be based on an independent finding of a violation of the law by a court of competent jurisdiction or an administrative or regulatory body.
b) Failure to report and willfully concealing one's knowledge of illegal activity by staff, volunteer or vendor related to association management.
c) Violation of other certification or credential standards resulting in revocation or other discipline.
d) Knowingly making false statements of material fact in any professional context, including falsification of academic, employment, or credentialing records.
e) Failure to disclose one's own actual conflict of interest to a third party decision making body, where such conflict would be material to such body's deliberations or decision-making process. Such third party may be a board of directors, a committee of the board, a client, or an employer.
f) Failure to adhere to the employer's policies and procedures in the acceptance of commissions, remuneration or other benefits in connection with the scope of the certificant's employment.
g) Unauthorized, material disclosure of confidential information except when required by law, where disclosure results in damage to the owner of the confidential information.
h) Willful disregard of lawful board of director directives that materially undermines the interests of the organization.

In the course of applying for certification or renewal, Certificants are to be made aware of the bases for which certification can be revoked.

The Professional Conduct Committee shall be empowered to investigate, deliberate, and bring to resolution, according to these Rules and Procedures, all Complaints against Certificants.

The CAE Commission, including action by the Professional Conduct Committee as delegated by these procedures, is the only entity authorized to make final decisions with respect to revocation or other disciplinary actions.

2) Objectives and Responsibilities of the Professional Conduct Committee

a) Objectives. The fundamental objectives of these Rules and Procedures are to protect the public against unprofessional and unethical conduct by Certified Association Executives ("Certificants"). This objective is accomplished by maintaining and administering these *Rules and Procedures Regarding Ethical and Professional Conduct Complaints* ("Rules and Procedures"). The purpose of these Rules and Procedures are:

i) to ensure that any person who currently holds or held at the time of alleged offense the Certified Association Executive (CAE) certification or an applicant for such certification ("Certificant") awarded by the CAE Commission ("CAE Commission") (a "CAE") is practicing in accordance with profession and community standards;

ii) to ensure the integrity of the program requirements and certification process;

iii) to ensure that issues regarding Certificants' ethical practices are evaluated and determined on a peer group basis; and

iv) to ensure due process for how Complaints against Certificants may be filed, and how the CAE Program will respond to, investigate, and take appropriate action concerning the allegations.

b) Resolution of Complaints. The Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, shall oversee proper consideration of all Complaints of alleged unprofessional and unethical conduct or other violations of the CAE Code of Professional Conduct or CAE Program policy in accordance with these rules such as to bring to conclusion and, if necessary, take disciplinary action(s) as may be necessary to achieve the objectives of the CAE Code of Professional Conduct, CAE Program policies, and these Rules and Procedures.

c) Composition of the Professional Conduct Committee. The Professional Conduct Committee Chair (who shall not be a member of the Commission) shall be appointed by the CAE Commission Chair. The Professional Conduct Committee shall be appointed by the Professional Conduct Committee Chair with approval by the CAE Commission Chair as outlined in Standing Rule 3. The Professional Conduct Committee shall be comprised of at least six (6) individuals who are CAEs in good standing and who are not members of the CAE Commission. The Immediate Past Chair of the CAE Commission shall participate in the deliberations of the Committee.

d) Authority of the Professional Conduct Committee. The Professional Conduct Committee shall be empowered to investigate, deliberate, and bring to resolution, including taking appropriate disciplinary actions, according to these Rules and Procedures, with respect to all Complaints against Certificants.

e) Annual Activities. Annually, or as requested by the Commission, the Professional Conduct Committee Chair shall:

i) Ensure a review and analysis of the Rules and Procedures and, as deemed necessary, propose recommendations for improving the Rules for adoption by the CAE Commission.
ii) Deliver a summary report to the Commission identifying the Professional Conduct activities, including a report of any public sanctions during the year and summary of other actions as provided in these Rules and Procedures.

f) Time. The time periods set forth in the sections below are intended to provide guidance to the Professional Conduct Committee, the Commission and the parties, and may be extended at the respective Chair's discretion depending upon the circumstances of each proceeding. Failure of the Professional Conduct Committee, the Commission or any party to comply with the time periods shall in no event prevent the continuation or conclusion of a proceeding by the Professional Conduct Committee or the Commission.

3) How a Complaint may be filed.

a) Who may file a Complaint. A Complaint must be based on an independent finding of a/an:
i) CAE
ii) Board of directors
iii) Administrative body
iv) Court of competent jurisdiction
v) Association, or
vi) Credentialing organization

A Complaint against a Certificant may be submitted in writing by any of the above parties when a Certificant appears to have violated the CAE Code of Professional Conduct or CAE Program policy. The CAE Commission Chair may initiate a complaint on his/her own initiative.

b) Certificant Status. A Certificant who is certified at the time of the alleged offense with the CAE Commission shall be subject to these Rules and Procedures irrespective of whether the Certificant's certification status has thereafter expired or been terminated or whether the Certificant has resigned.

c) What must be included in a Complaint. All Complaints must be submitted in writing to the Professional Conduct Committee Chair, in care of the Director of Credentialing, in a form that complies with the CAE Commission requirements. The Complaint must:

(1) specify the name, address and telephone number of the Complainant;

(2) include the name, address and telephone number of the Certificant;

(3) set forth the specific sections of the CAE Code of Professional Conduct or CAE Program policy alleged to have been violated;

(4) provide an adequate description of the facts supporting the Complaint including documentation relating to the allegations;

(5) detail previous steps, if any, that have been taken with respect to the alleged unethical or unprofessional conduct and the results of such steps taken;

(6) include the Complainant's approval for the Committee to disclose all information to the Certificant and those members evaluating the Complaint; and

(7) be signed by the Complainant.

d) Anonymous Complaint. No action will be taken solely on the basis of an Anonymous Complaint, but the Chair of the CAE Commission, in consultation with the Director of Credentialing and legal counsel, may direct the Professional Conduct Committee to self-initiate a Complaint based on information in Anonymous Complaints.

4) How Complaints are handled

i) Incomplete Complaints. If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the Complaint does not sufficiently address what must be included in a Complaint, then steps may be undertaken to rectify the incomplete items or, as appropriate, dismiss the Complaint for failure to include the necessary elements that must be included in a Complaint, and the Complainant so notified.

ii) Complaints without merit. If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the Complaint does not have merit, meaning the facts presented are inconsequential, unreliable, or present irrelevant information, the Complaint will be dismissed and the Complainant so notified. The CAE Commission Chair will also be notified of the decision.

iii) Complaints with merit. If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the Complaint has merit, an investigation will be initiated, and the Complainant, Certificant, and CAE Commission Chair so notified. The notice to the Certificant whose conduct is in question shall include:

(1) the basic facts of the Complaint and identification of the alleged violation. The notice shall include a description of the alleged behaviors involved in the Complaint, including the specific sections of the CAE Code of Professional Conduct or CAE Program policy alleged to have been violated by the Certificant;

(2) the name of the Complainant, which may be included or withheld based on the advice of legal counsel as necessary to preserve due process and confidentiality;

(3) a copy of these Rules and Procedures;

(4) a request that any specific information to assist in investigation of the Complaint be provided in the form of a written response and supporting documentation within thirty (30) days of receiving the notice, a statement that all information submitted by the Certificant shall become part of the record, may be used in further proceedings, and only be disclosed in accordance with the policies on Confidentiality, Public Notice of Sanction, and Record-Keeping of Proceedings set forth within these rules;

(5) identification of the members of the Professional Conduct Committee and CAE Commission. The Certificant may submit a written petition within 7 days to the Professional Conduct Committee Chair identifying any conflict of interest concerns as to Professional Conduct Committee and/or CAE Commission members, detailing such concerns, and, as appropriate, asking for replacement of any such member. The Professional Conduct Committee Chair shall have final authority as to the disposition of such requests, and may appoint other CAE(s) in good standing as replacement members of the Professional Conduct Committee. In the case of conflict of interest concerns with members of the Commission, the CAE Commission Chair shall have final authority over all such requests, and Commission members deemed to have a conflict of interest shall refrain from all considerations and votes on the matter; and

(6) notice that a Formal Investigation will be instituted in accordance with the Rules and Procedures if the preliminary investigation is not satisfactorily concluded.

iv) Preliminary investigation. The Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, will be responsible for conducting preliminary investigation of the Complaint and may seek additional information pursuant to the investigative methods outlined in the section of these Rules and Procedures entitled "Method of Conducting Investigation" (Section 3ix). The Certificant's failure to respond to the Complaint, or any other unwarranted delay or lack of cooperation by the Certificant, shall not prevent the continuation or conclusion of the proceedings by the Committee, as it deems appropriate.

v) Preliminary investigation reaching satisfactory conclusion. Once the preliminary information and any other requested information has been considered pursuant to these Rules and Procedures, the Professional Conduct Committee Chair, in consultation with the Director of Credentialing, legal counsel, and Immediate Past Chair of the CAE Commission, may conclude that the Complaint has no basis in fact, is insufficient, or is likely to be corrected on its own merit and, therefore, may, on its own initiative, determine to close the case without further action. Such decision shall be made within sixty (60) days of the Professional Conduct Committee Chair's receipt of all of the requested information. The Professional Conduct Committee Chair shall inform both the Complainant and the Certificant. The notice to the Certificant shall state that the basic facts of the Complaint and preliminary investigation findings will be noted in the Certificant's record.

vi) Preliminary investigation failing to reach satisfactory conclusion. If the response is not considered a satisfactory resolution by the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, the matter may be:

(1) referred to an appropriate body (including, but not limited to, law enforcement agencies, the Certificant's employer, and/or other membership or credentialing bodies). In such cases, the further consideration of the Complaint may be suspended pending the outcome of the referral.

(2) referred directly to the Professional Conduct Committee with recommendation for disciplinary action if the preliminary investigation determines that the Certificant has been convicted of a felony deemed related to the practice of association management and/or other confirmed finding of malpractice or breach of relevant standards of conduct by legal authorities, membership organization, or certifying body. In such cases, the Certificant and Complainant will be so notified. The notice to the Certificant shall state the preliminary finding and recommendation, and the intent of the Professional Conduct Committee to undertake consideration of the issue on a given date. The notice shall also inform the Certificant of the opportunity to provide a written response and submit supporting documentation as show good cause in writing within 30 days of receipt why he or she should not have such disciplinary action taken, including, but not limited to, suspension or

revocation of certified status. If the Certificant fails to timely respond, such action or inaction shall be deemed to be a waiver by the Certificant of his or her right to submit a written response.

(3) formally referred for Formal Investigation and deliberation, and the Complainant, Certificant, and CAE Commission Chair so notified, as provided in viii below.

vii) Procedure for Formal Investigation. Within ten (10) days of a preliminary investigation determination that a Complaint requires Formal Investigation, the Professional Conduct Committee Chair shall appoint an Investigative Panel (the "Panel").

(1) Composition of Investigative Panel. The Panel shall be designated and appointed at the discretion of the Professional Conduct Committee Chair. The Panel shall be comprised of two (2) members of the Professional Conduct Committee. The Chair of the Committee shall be authorized to participate in the discussion and deliberation of matters pending before each Panel. The Panel shall take action by consensus and the Chair of the Committee shall not vote.

(2) Authority of the Investigative Panel. The Panel, in consultation with the Director of Credentialing and legal counsel, may investigate and seek additional information pursuant to the investigative methods outlined in the section of these Rules and Procedures entitled "Method of Professional Conduct Committee Deliberations" (Section 3x) of this policy and shall make a recommendation for action to the Professional Conduct Committee.

viii) Notice of Formal Investigation. If a Formal Investigation is initiated, the Certificant shall be sent notice once an Investigative Panel has been appointed. The notice will advise the Certificant that he or she will have another thirty (30) days from receipt of notice to provide any further information to the Panel and that he or she may also be asked to respond to additional questions or information requests.

ix) Method of Conducting Investigation. An investigation may be conducted by collecting information, including documentation, conducting phone inquiries and through any other appropriate or similar means of inquiry.

(1) Certificant Records. Certificant records may be reviewed and consideration may be given to any elements recorded in the Certificant's CAE record.

(2) Experts. Experts may be retained and consulted with as necessary to assist in investigations. The expert may be an individual certified by the CAE Commission, or a member of an acknowledged peer group established by the CAE Commission or another responsible organization. Any expert retained and consulted with must sign an appropriate agreement setting forth the expert's agreement to maintain all information as confidential.

(3) Additional Information. Additional information may be sought through correspondence or otherwise, including supplementary information from the Complainant in writing or interviews, or from any other party, when necessary, in order to completely evaluate the substance of the allegations. In the event that the additional information is deemed necessary but the Complainant refuses to provide such additional information, it may be determined that the case should be closed, or proceed based on the information on hand. In the event that the additional information is not provided in a timely fashion, considerations may proceed based on the information on hand.

(4) Additional violations. If, during the course of its investigation, the Panel, Professional Conduct Committee, or CAE Commission determines that there may be additional violations of the CAE Code of Professional Conduct or CAE Program policy, then such violations may be investigated and appropriate findings regarding such additional violations may be reached in accordance with these Rules and Procedures.

Panel Deliberation. The Panel shall, in consultation with the Director of Credentialing and legal counsel, review all of the information and arrive at a consensus on a recommendation to the

Professional Conduct Committee. The Chair of the Professional Conduct Committee shall be authorized to participate in the discussion and deliberation of matters pending before the Panel, but shall not vote. The recommendation of the Panel shall be provided in writing to the Chair of the Professional Conduct Committee for transmission to the full Committee.

x) Method of Professional Conduct Committee Deliberations. The Professional Conduct Committee, assisted by the Director of Credentialing and the CAE Commission's legal counsel, will deliberate on the recommendation of the Panel, with access to the entire written record, in a private and confidential manner. The Certificant may petition the Professional Conduct Committee Chair for the opportunity to present an oral statement via conference call to the Panel. If granted, only the Certificant will be allowed to speak on his/her behalf. Such participation shall be at the sole discretion of the Professional Conduct Committee Chair and the Committee shall in no circumstance conduct a trial type hearing, and the rules of evidence shall not apply. The Immediate Past Chair of the CAE Commission and Professional Conduct Committee Chair shall both participate in the deliberations and each shall have a vote on all issues, as shall all members except those serving on the Investigative Panel. The Professional Conduct Committee shall be instructed as to the full range of actions it may take, including to close the case without further action up to revocation of the Certificant's CAE credential. The Committee shall be instructed to carefully consider its charge to protect the public against unprofessional and unethical conduct, as well as the gravity of the findings when determining disciplinary action. A vote shall be taken as to the disposition of the matter, determined by a majority of votes cast. In the event that a majority support is not ascertained, the Committee may consider and hold subsequent votes as to the disposition of the matter, including on other disciplinary actions as allowed by the section of these Rules and Procedures entitled "Types of Disciplinary Actions" (Section 4a) of this policy.

xi) Notification of Professional Conduct Committee Determination. Within ten (10) days from the date of its decision following an investigation, the Chair of the Professional Conduct Committee shall inform both the Complainant and the Certificant of the Committee's determination and, as appropriate, the actions to be taken, if any, along with the bases for such actions, including a citation to any and all CAE Code of Professional Conduct, or CAE Program policies that were violated by the Certificant. The notice shall be sent via an efficient and verifiable means. The notice to the Certificant shall also include notice of the Appeals provisions of these Rules and Procedures, as well as the relevant confidentiality, public notice of sanction, and record-keeping rules.

5) Disciplinary Actions

a) Types of Disciplinary Actions. The following disciplinary actions may be taken as deemed appropriate by the Professional Conduct Committee, or, in the case of an Appeal, the CAE Commission:

i) Private Sanction Disciplinary Actions

(1) Notify all parties, in writing, that no action is warranted against the Certificant;

(2) Require that the Certificant cease and desist the alleged conduct;

(3) Request that the Certificant(s) cease the improper conduct, accept supervision or seek appropriate assistance;

(4) Reprimand the Certificant in writing if there has been a violation of the CAE Code of Professional Conduct and/or CAE Program policies but no harm to another person, the public or the profession has occurred;

(5) Censure the Certificant if there has been a violation of the CAE Code of Professional Conduct and/or CAE Program policies but the harm done is not sufficient to warrant more serious action;

(6) Place the Certificant under probation and monitor the Certificant's conduct;

(7) Refer the matter to the proper authorities for criminal prosecution, if appropriate;

(8) Refer the matter to a national, regional, state or local professional association and/or a licensing or certifying authority;

(9) Take any other action that is warranted under the circumstances.

ii) Public Sanction Disciplinary Actions

(1) Suspend the Certificant's CAE status for an appropriate period of time, including permanently, if necessary;

(2) Revoke the Certificant's CAE status for an appropriate period of time, including permanently, if necessary.

a) Multiple Sanctions. The Professional Conduct Committee (or, in the case of an Appeal, the CAE Commission) may apply more than one sanction as deemed appropriate.

6) Appeals Provisions

a) Appeal of the Professional Conduct Committee's Decision. The Certificant shall have thirty (30) days from the date of Notification of Professional Conduct Committee Determination to deliver a written appeal to the Professional Conduct Committee's findings. Failure to timely appeal the Professional Conduct Committee's determination shall be deemed to be final and conclusive acceptance of the Professional Conduct Committee's determination and closure of the Professional Conduct Committee's determination of that matter. Thereafter, the Professional Conduct Committee's conclusions and sanctions shall be imposed, effective immediately.

b) Process for Appealing the Professional Conduct Committee's Decision. The Certificant's appeal of the Professional Conduct Committee's decision must be in writing and shall be sent to the Chair of the CAE Commission care of the Director of Credentialing via an efficient and verifiable means. The Certificant shall state the specific grounds why the appeal should be considered or granted. The Certificant's appeal may not present, include, or rely on facts that were not previously presented in the proceedings. Appeals are limited to:

(1) The fact that the Professional Conduct Committee's decision was not supported by or was contradicted by the evidence presented;

(2) The fact that the Professional Conduct Committee did not follow its own Policies, Rules and Procedures; and/or

(3) That the disciplinary action is not appropriate to the gravity of the situation.

c) Certification Status during Disciplinary Procedures and Appeal. During the period that disciplinary considerations and/or an appeal of a disciplinary action is pending, the certification status of the Certificant will be continued based on the individual's standing with the CAE certification program, subject to the normal and regular cycle of renewal requirements.

d) Materials provided to the Commission to consider an Appeal. In the event the Certificant timely and properly appeals the Professional Conduct Committee's decision, the Chair of the Professional Conduct Committee shall provide the Chair of the Commission with all information and materials collected during the Professional Conduct Committee's investigation and deliberations. The CAE Commission Chair shall also be provided a copy of the Certificant's written appeal of the Professional Conduct Committee's decision and a copy of these Rules and Procedures.

e) Consideration by the CAE Commission. The Immediate Past Chair and any Commission member deemed by the CAE Commission Chair to have a conflict of interest in regard to hearing the Appeal shall be recused from all aspects of consideration of the Appeal. At the discretion of the Chair of the CAE Commission, the consideration of the Appeal may be scheduled to be determined on the agenda of its next regularly scheduled business meeting, or, if deemed

necessary by the CAE Commission Chair, at a special session, including by teleconference. The Certificant may petition the CAE Commission Chair for the opportunity to present an oral statement via conference call to the Commission. If granted, only the Certificant will be allowed to speak on his/her behalf. Such participation shall be at the sole discretion of the CAE Commission Chair and the Commission shall in no circumstance conduct a trial type hearing, and the rules of evidence shall not apply. At the discretion of the Chair, an Appeals review panel of two or more Commissioners may be appointed to consider the facts of the matter and Appeal. The Commission shall then be presented with the Appeal and any findings of the Appeals review panel. A vote shall be taken as to the disposition of the Appeal, determined by a majority of votes cast. In the event that a majority support is not ascertained, the Commission may consider and hold subsequent votes as to the disposition of the Appeal, including on other disciplinary actions as allowed by the section of these Rules and Procedures entitled "Types of Disciplinary Actions" (Section 5a).

f) Options available to the Commission to resolve an Appeal. For an appeal based on the assertion that the Professional Conduct Committee's decision was not supported by or was contradicted by the evidence presented, the Commission may:

(1) Affirm the Professional Conduct Committee's decision;

(2) Determine that the findings of facts by the Professional Conduct Committee were clearly erroneous, and make an appropriate determination as to the disposition of the complaint;

(3) Determine that the disciplinary sanctions assessed by the Professional Conduct Committee were grossly disproportionate to the facts surrounding the violation, and make an appropriate determination as to the disposition of the complaint and/or disciplinary action.

For an appeal based on procedural error, the Commission may:

(4) Affirm that the Professional Conduct Committee followed proper procedures and affirm the Professional Conduct Committee's decision; or

(5) Determine that the procedures used by the Professional Conduct Committee were in serious and substantial violation of the CAE Code of Professional Conduct, professional conduct, and/or CAE Program policies, and these Rules and Procedures, and either make an appropriate determination as to the disposition of the complaint, or refer the decision back to the Professional Conduct Committee to reconsider the matter utilizing proper procedures.

g) Notification of Appeals determination. The Certificant shall be notified in writing of the outcome of the Commission's determination in regard to the Appeal within ten (10) days of the decision via an efficient and verifiable means.

h) Further Appeals. The decision of the Commission on the Appeal shall be final and effective immediately as stated, and may not be appealed to the ASAE Board of Directors or any other body.

7) Confidentiality, Public Notice of Sanction, and Record-Keeping of Proceedings in Revocation or Other Disciplinary Actions Matters

a) Public notice of Disciplinary Actions

i) Public reporting of Sanctions. The names of all publicly sanctioned Certificants (pursuant to Section 5aii of this policy) and the violations of the CAE Code of Professional Conduct and/or CAE Program policies involved as determined by the Commission shall be included in an annual report that is publicly available on the CAE Program web site, and other appropriate locations as reasonably determined by the Commission. The report may also include cumulative and/or redacted reports of Private Sanctions of the Commission if the Commission decides such reports may serve as guidance to other Certificants.

ii) Notification of Public Sanction to Professional Societies. In addition, the Director of Credentialing, on behalf of the Chair of the Commission, shall notify all national, regional, state or local professional associations of association executives of any publicly sanctioned Certificants (pursuant to Section 4aii of this policy).

iii) Notice of Public Sanction available upon request. Upon request, the Director of Credentialing shall provide such a report including the names of all publicly sanctioned Certificants (pursuant to Section 5aii of these rules), including the violations of the CAE Code of Professional Conduct and/or CAE Program policies involved as determined by the Commission, to any interested person or public agency deemed necessary to protect the public.

b) Confidentiality

i) Disclosure of Complainant and Certificant names. The names and addresses of Certificant, and Complainant if necessary, shall be disclosed to the Director of Credentialing, CAE Program legal counsel, Professional Conduct Committee Chair, and the Chair of the Commission, and additionally as necessary in the course of proceedings to the members of the Professional Conduct Committee, Commission, and any experts enlisted to assist in investigation and consideration of the matter.

ii) Confidentiality Attestation. All individuals enlisted by, or on behalf of, the Professional Conduct Committee and/or Commission to investigate, consider or deliberate as part of these processes shall sign an appropriate statement setting forth their agreement to maintain all information as confidential, and to promptly return all information received during the course of an investigation to the CAE Commission's offices care of the Director of Credentialing.

iii) Handling of information related to the Complaint and proceedings. All information, other than that which is publicly available, related to and disclosed during the proceedings shall be maintained on a confidential basis, except that the Director of Credentialing, Professional Conduct Committee and/or the Commission shall be permitted to:

(1) disclose such information when compelled by a validly issued subpoena or court order, or when otherwise required by law or pursuant to permission granted by the individual in question;

(2) share relevant information with parties essential to the review and investigation of the alleged unethical or unprofessional conduct, including the CAE Commission's staff, legal counsel, and consultants or experts;

(3) utilize such information in anonymous and aggregate form for purposes deemed appropriate by the Commission and/or Professional Conduct Committee, including, but not limited to, public reports, Certificant education, and research purposes.

c) Record Keeping

i) Handling, storage, maintenance and destruction of records. The Director of Credentialing, with the guidance of the Commission and Professional Conduct Committee Chair, shall establish reasonable procedures to ensure that confidentiality is maintained with respect to the handling, storage, maintenance and destruction of records.

ii) Recording of Complaints in Certificant records. All Complaints meeting the requirements outlined in the section of these Rules and Procedures entitled "How a Complaint may be filed" (Section 3 a - d) become a part of the record in the Certificant's file to be held in the CAE Commission's offices. The record shall include the steps undertaken in the due process review and any action taken, including notation of Complaints dismissed for lack of merit.

iii) Retention of records for closed cases. Once the case is closed, dismissed, or otherwise reaches conclusion, one set of records shall be maintained as part of the program's permanent records and the remainder destroyed.

Policy # 16 Subject: Appeals for CAE Applicants, Candidates and Recertifying Certificants
Date Adopted: April 1991
Revised: March 1996
February 2003
February 2009
November 2014

An appeal may be made by a CAE applicant, candidate or certificant only regarding the following circumstances:

- the CAE Commission's interpretation of standards including candidate eligibility from the time of candidate inquiry or the filing of the initial application through the time of conferring of the credential;
- exam administration procedures;
- testing conditions severe enough to cause a major disruption of the examination process; and
- exam score based on exam content and/or keyed item responses;
- the CAE Commission's interpretation of standards required for renewal.

The applicant, candidate or certificant who wishes to make an appeal (the "Appellant") must submit an appeal in writing to the CAE Appeals Committee within thirty (30) days of receipt of notification of an adverse decision.

The CAE Appeals Committee shall then meet by teleconference within 30 days after the end date of the appeal period. All determinations regarding appeals must be decided by a two-thirds (2/3) vote of the Appeals Committee.

Notice of the Appeals Committee determination shall be provided to the Appellant within 10 business days of the decision.

The Appellant then has 30 days from receipt of the Appeals Committee determination to file a written appeal with the CAE Commission.

The appeal shall be considered at the next regularly scheduled meeting of the CAE Commission. All determinations regarding appeals must be decided by two-thirds vote of the Commission. Notice of the Commission determination shall be provided in writing to the Appellant within 10 business days of the Commission meeting.

The CAE Commission's determination shall be final.

Policy # 17 Subject: Records Retention
Date Adopted: May 2006
Revised: February 2009
May 2009

The CAE Commission will retain documents in accordance with its record retention policy set forth below. Electronic retention policies are the same as for hard copy. Electronic files shall be regularly backed up.

Policies relating to document retention specific to revocation or other disciplinary actions are set forth in Policy 15, Revocation and Other Disciplinary Actions, #7 above.

Communications containing legal advice should be marked "Confidential and Privileged" and clearly identify the authors or recipients as lawyers. Employees or volunteers should not distribute documents containing privileged attorney-client information without specific authorization from the attorney.

Documents should not be retained past the designated times set forth in this policy. In addition, all paper and electronic files should undergo periodic review by staff, at least annually, to ensure compliance with this policy.

Should the Commission or ASAE be engaged in litigation or receive a subpoena for documents, the Record Retention Policy may be suspended on advice of legal counsel. The destruction of any documents in such circumstances may be inappropriate.

Document Type	Retention Period
Standing Rules & Board Policies	Permanent
Regular and executive session minutes	Permanent
Regular and executive session agendas	6 years
Board Reports and related documents	6 years
Commission Committee documents	10 years
Budgets	7 years
Financial Records	7 years

Correspondence
Any outgoing official correspondence on behalf of the Commission that expresses or explains an official position or policy should be kept permanently, along with related incoming correspondence.

Legal	
Claims and litigation	Permanent
Contracts	Permanent
Contracts – drafts	Discard after final contract is signed
Correspondence – legal	Permanent
Trademark registrations and copyrights	Permanent
Certificant	
Directory	Permanent
Applications	Permanent
Answer sheets/test booklets	180 days
Revocation proceedings documents	Permanent
Elections	
Nomination and election files	Discard after need no longer exists

Examination Development
All documents related to the development and maintenance of the examination will be maintained permanently. These documents include, but are not limited to, job analysis studies, cut score (standard setting) reports, documentation of item writing activities, exam forms, and technical reports.

The item bank used to develop the CAE exam will be maintained permanently by the Commission or its designated vendor.

Assessment Results
Test scores for all candidates and related documents to determine test cut-scores and psychometrics shall be maintained by the Commission or its designated vendor in a secured environment for five (5) years.

Policy # 18 Subject: Quality Improvement
Date Adopted: May 2009
July 2019

The CAE Program is committed to conducting periodic reviews of standing rules, policies and other program and candidate materials to facilitate the ongoing quality and maintenance of the CAE Program. Accordingly, an annual audit will be conducted and reported to the Commission at the first meeting of the calendar year. The audit process will include a review of application processing, security procedures, document and record retention, staff training requirements, examination development,

accreditation compliance, Commission orientation, confidentiality, and conflict of interest. The audit will identify any needed corrective and/or preventative actions. Errors that arise in the normal course of business will be addressed by the CAE Program Staff and significant errors will be reported to the CAE Commission.

The published list of Certified Association Executives will be updated following the completion of each exam administration. A database of all CAE applicants and certificants will be maintained.

Vendor Contracts

Credentialing staff, with Commission oversight, will review at least annually any agreements with consultants and/or other vendors to ensure that those agreements continue to meet the needs of the certification program. Staff will review vendor services with periodic calls to review project status and outcomes and complete an annual review of agreed upon scope of services. Additionally, security clauses will be included in contracts dealing with confidential information.

Security

Certification program staff will periodically review the certification program security practices to ensure compliance.

Scoring

Testing/psychometric vendor enforces the quality control procedures at all stages of the certification process, from the job analysis study to score reporting. During examination development, the testing/psychometric vendor thoroughly trains item writers in developing psychometrically-sound and job-related items, classifies each item to the appropriate content area/test specifications, references the correct response to a current and verified publication, independently reviews and validates each item by at least three subject matter experts, conducts psychometric and editorial reviews of each item, constructs examinations according to the test specifications, and ensures equivalence among examination versions through an appropriate equating methodology.

Testing/psychometric vendor staff conduct independent internal and external testing of examination items, scoring keys, and score results reports.

Staff Training

New credentialing staff receive training on CAE procedures and policies. Credentialing staff are trained as needed when policies or procedures change. Credentialing staff participate at least annually in education related to certification or current/upcoming CAE projects.

Policy # 19 Subject: Security
Date Adopted: May 2009
July 2019

The CAE Certification Commission Security Policy is a confidential document. To ensure the security of all confidential materials the policy will NOT be published or made available to CAE applicants, certificants, or the public.

Policy # 20 Subject: Finance
Date Adopted: February 2009
Revised: May 2014
June 2015

The CAE Commission shall follow ASAE policies for fiscal management, but shall retain the right to develop policies and procedures different than other ASAE groups. When such variance is deemed by the Commission as desirable to maintain the quality and integrity of the certification process, a stated rationale shall be made public by the Commission.

Budget:

Working with the Commission officers, staff shall prepare the certification budget as outlined by ASAE budget requirements. The Commission shall review the certification budget.

Fundraising:
The CAE Commission shall not engage in fundraising or activities outside the scope of certification and renewal activities.

Contracts:
The Commission shall use the RFP process when applicable to contract services for the job analysis; exam development, maintenance, and administration; and other related services. The Officers shall review and approve such contracts prior to signing by staff. Commission contracts shall coincide with the contract language of ASAE.

Financial Statements:
Financial Statements shall be distributed to the full Commission prior to each Commission meeting.

Fiscal Year:
The Commission fiscal year shall coincide with the fiscal year of ASAE.

Policy # 21 Subject: Procedure for Handling Felony Disclosures
Date Adopted: May 2010
Revised: June 2015
July 2019

Executive Summary

- Element 1: A form is developed for collecting felony disclosure information from the applicant.
- Element 2: Primary responsibility for consideration of the circumstances and facts will be handled through the Professional Conduct Committee Chair and Committee.
- Element 3: A two stage process shall be used to consider and reach closure in a thoughtful yet timely manner. In straightforward matters, the Professional Conduct Committee Chair shall recommend acceptance or denial of the application to the CAE Commission Officers. The CAE Commission Officers may either concur, or refer the issue back to the full Professional Conduct Committee for further consideration and determination of acceptance or denial of the application. In more ambiguous matters, the full Professional Conduct Committee shall conduct considerations to determine acceptance or denial of the application. Specific policy presumptions include:
    a) Felony determined unrelated to association management - PCC Chair shall recommend acceptance of the application to the CAE Commission Officers.
    b) Felony determined related to employment or contractual engagement by an association or the practice of association management for which sentence has been completed - PCC Chair shall recommend acceptance of the application to the CAE Commission Officers.
    c) Felony determined related to employment or contractual engagement by an association AND the practice of association management for which sentence has been completed - the PCC Chair shall, based on his/her judgment, either refer the matter for consideration by the Professional Conduct Committee or recommend acceptance of the application to the CAE Commission Officers.
    d) Felony determined related to employment or contractual engagement by an association or the practice of association management for which sentence has not been completed - then the PCC Chair shall recommend denial of the application to the CAE Commission Officers.
- Element 4: The CAE Commission shall remain as a course of action for appeal of any decision by the Professional Conduct Committee.

Procedure

Element 1: Felony Disclosure Form

A form for disclosure of felony convictions shall be developed to collect:

1. Name(s) under which convictions are filed (such other information as may be required);
2. Date of Conviction(s);
3. Location(s);
4. Court(s);
5. Charge(s);
6. Disposition/Sentence(s);
7. Current Status of Sentence(s);
8. Employer(s) at the time of conviction(s), if any;
9. Disclosure whether a professional license or certificate was denied, revoked, nullified, suspended, or surrendered in relation to a disclosed conviction(s);
10. A copy of the court order showing the terms of the sentence(s) and documents showing completion of those terms;
11. Any other facts the applicant considers important relative to the conviction(s);
12. A short statement addressing the applicant's fitness for certification.

All forms must be submitted in writing to the Director of Credentialing, and be signed by the applicant.

Element 2: Responsibilities of the Professional Conduct Committee Chair and Committee

Professional Conduct Committee Chair. The Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, will be responsible for oversight of handling of consideration of felony disclosures pursuant to these Rules and Procedures, including determining the completeness of submitted information; conducting a preliminary consideration and either recommending a resolution to the CAE Executive Team or referring the matter for consideration by the Professional Conduct Committee; overseeing Committee Consideration if needed, and, if necessary, coordinating with the CAE Commission on appeals of the Professional Conduct Committee decisions.

Professional Conduct Committee. The Professional Conduct Committee shall be responsible for undertaking consideration of felony disclosures when so directed pursuant to these Rules and Procedures; maintain proper confidentiality in all cases; and, when needed, reaching a decision as to the approval or denial of an application with a felony disclosure.

Confidentiality

Disclosure of Complainant and Applicant names. The names and addresses of Applicant may be disclosed to the Director of Credentialing, CAE Program legal counsel, Professional Conduct Committee Chair, and the Chair of the Commission, and additionally as necessary in the course of proceedings to the members of the Professional Conduct Committee, Commission, and any experts enlisted to assist in investigation and consideration of the matter.

Confidentiality Attestation. All individuals enlisted by, or on behalf of, the Professional Conduct Committee and/or Commission to investigate, consider or deliberate as part of these processes shall sign an appropriate statement setting forth their agreement to maintain all information as confidential, and to promptly return all information received during the course of an investigation to the CAE Commission's offices care of the Director of Credentialing.

Handling of information related to the Disclosure and proceedings. All information, other than that which is publicly available, related to and disclosed during the proceedings shall be maintained on a confidential basis, except that the Director of Credentialing, Professional Conduct Committee and/or the Commission shall be permitted to:

(1) disclose such information when compelled by a validly issued subpoena or court order, or when otherwise required by law or pursuant to permission granted by the individual in question;

(2) share relevant information with parties essential to the review and investigation of the alleged unethical or unprofessional conduct, including the CAE Commission's staff, legal counsel, and consultants or experts;

(3) utilize such information in anonymous and aggregate form for purposes deemed appropriate by the Commission and/or Professional Conduct Committee, including, but not limited to, public reports, education, and research purposes.

Record Keeping

Handling, storage, maintenance and destruction of records. The Director of Credentialing, with the guidance of the Commission and Professional Conduct Committee Chair, shall establish reasonable procedures to ensure that confidentiality is maintained with respect to the handling, storage, maintenance and destruction of records.

Recording of Disclosures in CAE Program records. All disclosures, considerations, and decisions meeting the requirements outlined in the section of these Rules and Procedures become a part of the record in the Applicant's file to be held in the CAE Commission's offices. The record shall include the steps undertaken in the due process review and any action taken.

Element 3: Consideration Procedures by the Professional Conduct Committee

The following policy presumptions are provided absent egregious circumstances.

Stage 1: Preliminary consideration. The Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, will be responsible for conducting preliminary consideration of the disclosure pursuant to these Rules and Procedures. The Preliminary Consideration may result in recommended course of action to the CAE Commission Officers or direct referral for consideration by the Professional Conduct Committee. The CAE Commission Officers may choose not to accept the Preliminary Findings recommendation and refer the disclosure for consideration by the Professional Conduct Committee.

Incomplete Information. If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the submission does not sufficiently address what must be included in a disclosure, then steps may be undertaken to rectify the incomplete items or, as appropriate, dismiss the application for failure to include the necessary elements that must be included in a disclosure, and the applicant so notified.

Preliminary consideration outcomes

i) Felony determined unrelated to association management. If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the disclosed Felony is unrelated to:

1) the practice of association management as defined by the body of knowledge;
2) AND employment or contractual engagement by an association;
3) AND that the current status of any related sentence(s) does not prohibit employment by an association,

then the PCC Chair shall recommend acceptance of the application to the CAE Commission Officers. To protect the applicant confidentiality, the recommendation shall not identify the applicant, but shall state the specific conviction(s) and provide support for why acceptance of the application is recommended (e.g., that the disclosed Felony is unrelated to the practice of association management; association employment; and that the current status of any related sentence(s) does not prohibit employment by an association.) The CAE Commission Officers may accept the recommendation, or direct the PCC Chair to convene further consideration of facts through the PCC Committee.

ii) Felony determined related to employment by an association or the practice of association management for which sentence has been completed. If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the disclosed Felony is related to:

1) the practice of association management as defined by the body of knowledge;
2) OR employment or contractual engagement by an association;
3) AND that any related sentence(s) has been completed and thus does not prohibit employment by an association,

then the PCC Chair shall recommend acceptance of the application to the CAE Commission Officers. To protect the applicant confidentiality, the recommendation shall not identify the applicant, but shall state the specific conviction(s) (including if it was related to employment or contractual engagement by an association) and provide support for why acceptance of the application is recommended (e.g., that while the disclosed Felony is related to the practice of association management OR association employment, the sentence(s) have been completed and thus does not

prohibit employment by an association.) The CAE Commission Officers may accept the recommendation, or direct the PCC Chair to convene further consideration of facts through the PCC Committee.

iii) Felony determined related to employment by an association AND the practice of association management for which sentence has been completed. If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the disclosed Felony is related to:

1) the practice of association management as defined by the body of knowledge;
2) AND occurred during employment or contractual engagement by an association;
3) AND that any related sentence(s) has been completed and thus does not prohibit employment by an association,

then the PCC Chair shall, based on his/her judgment, either refer the matter for consideration by the Professional Conduct Committee or recommend acceptance of the application to the CAE Commission Officers. To protect the applicant confidentiality, the recommendation shall not identify the applicant, but shall state the specific conviction(s) and provide support for why acceptance of the application is recommended (e.g., while the disclosed Felony is related to the practice of association management and occurred while the individual was an association employee, consideration of the sentence(s) having been completed and facts surrounding the violation merit acceptance of the application.) The CAE Commission Officers may accept the recommendation or direct the PCC Chair to convene further consideration of facts through the PCC Committee.

iv) Felony determined related to employment by an association or the practice of association management for which sentence has not been completed. If the Professional Conduct Committee Chair, assisted by the Director of Credentialing and legal counsel, determines that the disclosed Felony is related to:

1) the practice of association management as defined by the body of knowledge;
2) OR employment or contractual engagement by an association;
3) AND that any related sentence(s) has not been completed or otherwise prohibits employment by an association,

then the PCC Chair shall recommend denial of the application to the CAE Commission Officers. To protect the applicant confidentiality, the recommendation shall not identify the applicant, but shall state the specific conviction(s) and provide support for why denial of the application is recommended (e.g., the disclosed felony is related to the practice of association management as defined by the body of knowledge and that the related sentence(s) has not been completed.) The CAE Commission Officers may accept the recommendation, or direct the PCC Chair to convene further consideration of facts through the PCC Committee.

Stage 2: Committee Consideration

When determined necessary by the PCC Chair or the CAE Commission Officers, the PCC Committee shall conduct considerations to determine the impact of a felony disclosure on applicant eligibility.

Procedure for Committee Investigation. Within ten (10) days of a preliminary consideration determination that a disclosure requires Committee Consideration, the Professional Conduct Committee Chair shall appoint a Disclosure Review Panel (the "Panel").

Composition of Disclosure Review Panel. The Panel shall be designated and appointed at the discretion of the Professional Conduct Committee Chair. The Panel shall be comprised of two (2) members of the Professional Conduct Committee. The Chair of the Committee shall be authorized to participate in the discussion and deliberation of matters pending before each Panel. The Panel shall take action by consensus and the Chair of the Committee shall not vote.

Notice of Committee Consideration. If a Committee Consideration is initiated, the Applicant shall be sent notice once a Disclosure Review Panel has been appointed. The notice will advise the Applicant that he or she will have another thirty (30) days from receipt of notice to provide any further information to the Panel and that he or she may also be asked to respond to additional questions or information requests.

Authority of the Disclosure Review Panel. The Panel, in consultation with the Director of Credentialing and legal counsel, may investigate and seek additional information pursuant to the investigative methods outlined in the section of these Rules and

Procedures entitled "Method of Conducting Investigation" of this policy and shall make a recommendation for action to the Professional Conduct Committee.

Method of Conducting Investigation. An investigation may be conducted by collecting information, including documentation, conducting phone inquiries and through any other appropriate or similar means of inquiry.

(1) CAE Program Records. CAE Program records may be reviewed and consideration may be given to any elements recorded in the applicant's CAE record.

(2) Experts. Experts may be retained and consulted with as necessary to assist in investigations. The expert may be an individual certified by the CAE Commission, or a member of an acknowledged peer group established by the CAE Commission or another responsible organization. Any expert retained and consulted with must sign an appropriate agreement setting forth the expert's agreement to maintain all information as confidential.

(3) Additional Information. Additional information may be sought through correspondence or otherwise, including supplementary information from the Applicant in writing or interviews, or from any other party, when necessary, in order to completely evaluate the substance of the felony disclosure. In the event that the additional information is deemed necessary but the Applicant refuses to provide such additional information or that the additional information is not provided in a timely fashion, it may be determined that the application should be dismissed.

(4) Additional violations. If, during the course of its investigation, the Panel, Professional Conduct Committee, or Director of Credentialing determines that there may be additional violations of the ASAE Standards of Conduct or CAE Program policy that are timely and relevant to applicant eligibility, then such violations may be investigated and appropriate findings regarding such additional violations may be reached in accordance with these Rules and Procedures.

(5) Panel Deliberation. The Panel shall, in consultation with the Director of Credentialing and legal counsel, review all of the information and arrive at a consensus on a recommendation to the Professional Conduct Committee. The Chair of the Professional Conduct Committee shall be authorized to participate in the discussion and deliberation of matters pending before the Panel, but shall not vote. The recommendation of the Panel shall be provided in writing to the Chair of the Professional Conduct Committee for transmission to the full Committee.

Method of Professional Conduct Committee Deliberations. The Professional Conduct Committee, assisted by the Director of Credentialing and the CAE Commission's legal counsel, will deliberate on the recommendation of the Panel, with access to the entire written record, in a private and confidential manner. The Applicant may petition the Professional Conduct Committee Chair for the opportunity to present an oral statement via conference call to the Committee. If granted, only the Applicant will be allowed to speak on his/her behalf. Such participation shall be at the sole discretion of the Professional Conduct Committee Chair and the Committee shall in no circumstance conduct a trial type hearing, and the rules of evidence shall not apply. The Immediate Past Chair of the CAE Commission and Professional Conduct Committee Chair shall both participate in the deliberations and each shall have a vote on all issues, as shall all members except those serving on the Investigative Panel. The Professional Conduct Committee shall be instructed as to the full range of actions it may take. The Committee shall be instructed to carefully consider its charge to protect the public against unprofessional and unethical conduct, as well as the gravity of the findings when determining disciplinary action. A vote shall be taken as to the disposition of the matter, determined by a majority of votes cast. In the event that a majority support is not ascertained, the Committee may consider and hold subsequent votes as to the disposition of the matter.

Notification of Professional Conduct Committee Determination. Within ten (10) days from the date of its decision following an investigation, the Director of Credentialing shall inform the Applicant of the Committee's determination. The notice shall be sent via an efficient and verifiable means. The notice to the Applicant shall also include notice of the Appeals provisions of these Rules and Procedures, as well as the relevant confidentiality and record-keeping rules.

Element 4: Appeals Provisions

Appeal of the Professional Conduct Committee's Decision. The Applicant shall have thirty (30) days from the date of Notification of the Professional Conduct Committee's Application Eligibility Determination in regard to a felony disclosure to deliver a written appeal to the Professional Conduct Committee's findings. Failure to timely appeal the Professional Conduct Committee's determination shall be deemed to be final and conclusive acceptance of the Professional Conduct Committee's determination and closure of the Professional Conduct Committee's determination of that matter.

Process for Appealing the Professional Conduct Committee's Decision. The Applicant's appeal of the Professional Conduct Committee's decision must be in writing and shall be sent to the Chair of the CAE Commission care of the Director of Credentialing via an efficient and verifiable means. The Applicant shall state the specific grounds why the appeal should be considered or granted. The Applicant's appeal may not present, include, or rely on facts that were not previously presented in the proceedings. Appeals are limited to:

(1) The fact that the Professional Conduct Committee's decision was not supported by or was contradicted by the evidence presented;

(2) The fact that the Professional Conduct Committee did not follow its own Policies, Rules and Procedures; and/or

(3) That the determination that the application is ineligible is not appropriate to the gravity of the situation.

Materials provided to the Commission to consider an Appeal. In the event the Applicant timely and properly appeals the Professional Conduct Committee's decision, the Chair of the Professional Conduct Committee shall provide the Chair of the Commission with all information and materials collected during the Professional Conduct Committee's investigation and deliberations. The CAE Commission Chair shall also be provided a copy of the Applicant's written appeal of the Professional Conduct Committee's decision and a copy of these Rules and Procedures.

Consideration by the CAE Commission. The Immediate Past Chair and any Commission member deemed by the CAE Commission Chair to have a conflict of interest in regard to hearing the Appeal shall be recused from all aspects of consideration of the Appeal. At the discretion of the Chair of the CAE Commission, the consideration of the Appeal may be scheduled to be determined on the agenda of its next regularly scheduled business meeting, or, if deemed necessary by the CAE Commission Chair, at a special session, including by teleconference. The Applicant may petition the CAE Commission Chair for the opportunity to present an oral statement via conference call to the Commission. If granted, only the Applicant will be allowed to speak on his/her behalf. Such participation shall be at the sole discretion of the CAE Commission Chair and the Commission shall in no circumstance conduct a trial type hearing, and the rules of evidence shall not apply. At the discretion of the Chair, an Appeals review panel of two or more Commissioners may be appointed to consider the facts of the matter and Appeal. The Commission shall then be presented with the Appeal and any findings of the Appeals review panel. A vote shall be taken as to the disposition of the Appeal, determined by a majority of votes cast. In the event that a majority support is not ascertained, the Commission may consider and hold subsequent votes as to the disposition of the Appeal.

Options available to the Commission to resolve an Appeal. For an appeal based on the assertion that the Professional Conduct Committee's decision was not supported by or was contradicted by the evidence presented, the Commission may:

(1) Affirm the Professional Conduct Committee's decision;

(2) Determine that the findings of facts by the Professional Conduct Committee were clearly erroneous, and make an appropriate determination as to the disposition of the disclosure;

(3) Determine that the determination by the Professional Conduct Committee that the application is ineligible is grossly disproportionate to the facts surrounding the violation, and make an appropriate determination as to the disposition of the disclosure.

For an appeal based on procedural error, the Commission may:

(4) Affirm that the Professional Conduct Committee followed proper procedures and affirm the Professional Conduct Committee's decision; or

(5) Determine that the procedures used by the Professional Conduct Committee were in serious and substantial violation of the ASAE Standards of Conduct, professional conduct, and/or CAE Program policies, and these Rules and

Procedures, and either make an appropriate determination as to the disposition of the disclosure, or refer the decision back to the Professional Conduct Committee to reconsider the matter utilizing proper procedures.

Notification of Appeals determination. The Applicant shall be notified in writing of the outcome of the Commission's determination in regard to the Appeal within ten (10) days of the decision via an efficient and verifiable means.

Further Appeals. The decision of the Commission on the Appeal shall be final and effective immediately as stated, and may not be appealed to the ASAE Board of Directors or any other body.

Policy # 22 Subject: Retired Status
Date Adopted: May 2010
June 2015

Current CAEs in good standing who are retired from association management (or individuals who were a CAE in good standing at the time of their retirement from association management), but wish to retain their connection to the CAE community, may apply for the "CAE (Ret.)" designation.

Eligibility Requirements

To be eligible for the CAE (Ret.) applicants must:

1) Be a current CAE in good standing at the time of application (or at the time of their retirement from association management).

2) Have renewed the CAE at least once.

3) Be fully retired from the practice of association management and no longer have an employment or contracted relationship with a qualifying organization as an employee, consultant or independent contractor. A qualifying organization is defined as a nonprofit organization – a trade association, professional society, individual membership organization, philanthropic organization, tribal organization – or an association management company.

4) Submit a qualifying application accompanied by a one-time non-refundable retired status fee.

Continuing Requirements

- CAE (Ret.) designees are subject to the same code of conduct and same disciplinary actions as CAEs. Complaints about CAE (Ret.) will be handled through the policies outlined for complaints about CAEs.
- CAE (Ret.) designees must remain fully retired or no longer employed by a qualifying organization as an employee, consultant or independent contractor.
- CAE (Ret.) designees must notify the CAE Commission of any change in employment circumstances that would render the individual ineligible for CAE (Ret.) status.

Rights and Privileges

Individuals granted CAE (Ret.) status may use CAE (Ret.) after their name, in correspondence, publications, speaking engagements and other public mentions to indicate their status as a Certified Association Executive at the time of their retirement from association management. CAE (Ret.) designees may not use the CAE designation without the (Ret.) suffix, and may not portray themselves as a current CAE.

Reactivation to CAE Status

Individuals who become CAE (Ret.) have the following options to reactivate their CAE:

1) If the application for CAE reactivation is made within three years of the last date of being a CAE in good standing, the individual may submit the required number of hours in the preceding three years to reactivate the CAE under the Inactive Status rules.
2) If more than three years has passed since the last date of being a CAE in good standing, or the requirements to reactivate are not met, the individual must meet eligibility requirements, submit a qualifying application and fees, and achieve a passing examination score.

Policy # 23 Subject: CAE Approved Provider
Date Adopted: May 2016

A CAE Approved Provider is an organization that has formally registered with the CAE program and has been identified as meeting the standards necessary to ensure their courses are eligible for CAE credit. Any course offered by a CAE Approved Provider that meets the CAE program standards may be utilized to meet the requirement for the CAE application or CAE renewal.

To be eligible for the program CAE Approved Provider courses must be directly related to association or nonprofit management topics.

Approved providers are subject to an annual fee and may request review and approval of self-study programs for an additional fee.

Approved providers should keep a list of attendees, the program description, date, number of CAE credits, and presenters. This information should be kept for five (5) years.

The CAE program has a responsibility to monitor the Approved Providers to assure their integrity and quality. Therefore the CAE program reserves the right to:

- monitor registered courses and operations as part of periodic random samplings of approved providers.

- terminate use of the CAE Approved Provider designation when there is ample evidence that a provider is not upholding CAE education criteria and commitments to follow CAE Approved Provider guidelines.

Approved Providers are notified in writing of failure to comply with the criteria and conditions of qualification. After being notified they have a probationary period of 60 days to demonstrate compliance. Approved Providers who fail to comply within 60 days are removed from the CAE Approved Provider program. They may apply for reinstatement one year after the date of withdrawal.

Appendix A: Fee Schedule

Fees Beginning January 1, 2013

Fee Type	ASAE Member	Non-Member
Initial Application	500	700
Non-refundable Processing Fee	150	150
Examination Retake Fee	250	250
Professional Testing Center Fee	• 75 for continental US • 25 + estimated shipping costs for Hawaii, Alaska, and foreign sites (minimum $75 total)	• 75 for continental US • 25 + estimated shipping costs for Hawaii, Alaska, and foreign sites (minimum $75 total)
Hand Scoring	75	75
Renewal Fee	350	500
Discounted Early Renewal Fee (received by Oct. 31 of renewal year)	275	425
Inactive Status	275	275
Retired Status	275	275

Fees Beginning January 1, 2016

Fee Type	ASAE Member	Non-Member
Initial Application	500	750
Non-refundable Processing Fee	150	150
Examination Retake Fee	250	250
Professional Testing Center Fee	• 75 for continental US • 125 for Hawaii, Alaska, and foreign sites	• 75 for continental US • 125 for Hawaii, Alaska, and foreign sites
Hand Scoring	75	75
Renewal Fee	350	500
Discounted Early Renewal Fee (received by Oct. 31 of renewal year)	275	425
Inactive Status	350	350
Retired Status	350	350

Appendix B: ASAE Agreement of Support

American Society of Association Executives
Agreement of Support
for the
CAE Commission

THIS AGREEMENT OF SUPPORT is entered into effective as of February 26, 2009 by the American Society of Association Executives ("ASAE") to support the Certified Association Executive ("CAE") Commission of ASAE "(Commission") to ensure an ongoing professional certification program that is both psychometrically sound and legally defensible, and consistent with ASAE's nonprofit and tax exempt purposes and mission;

WHEREAS, the ASAE Board of Directors and the Commission have approved the general principles of this Agreement of Support in recognition of the Commission's authority and autonomy with respect to the CAE certification program, and desire to memorialize the policy determinations for operation of the program in a written document;

NOW, THEREFORE, the following terms are agreed upon:

1. ASAE is committed to continue to support the Commission and CAE credential through:
   a) supporting the CAE Commission's autonomy in decision making over essential certification activities;
   b) including and supporting the CAE credential in ASAE activities and communications;
   c) assuring funds for activities essential to the maintenance and growth of the certification program, including ongoing operations, periodic funding needs (e.g., job analysis), and extenuating circumstances (e.g., to redress a breach of security); and
   d) maintaining fiduciary oversight of the relationship between ASAE and the CAE Program.
2. The CAE Commission is committed to:

a) maintaining the program in accordance with industry standards;
b) providing sound fiscal management that covers ongoing and planned expenses;
   c) providing ASAE members an appropriate membership discount reflective of ASAE's support of the credential;
   d) including ASAE representation on the CAE Commission;
   e) incorporating recognition of ASAE in CAE branding as appropriate;
   f) contributing any excess annual revenue above expenses to ASAE to support the maintenance of ASAE financial reserves; and
   g) providing status reports to the ASAE Board documenting compliance with this agreement.

3. ASAE's Board Policies shall be updated to include an acknowledgement of the Commission and its purpose, and to denote that an Agreement of Support is in place to define the relationship between ASAE and the Commission. The agreed acknowledgment and definition of relationship, respectively, are as follows:
   a) The CAE Commission. The purpose of the CAE Program is to designate association professionals who demonstrate the knowledge essential to the practice of association management as a chief staff executive. The CAE Commission has sole and independent authority in all matters pertaining to certification, including standard setting, exam development, fiscal management, administration, and disciplinary action.
   b) ASAE and Commission relationship. ASAE Board Policies shall at all times be fully consistent and compliant with the terms and conditions contained in the Agreement of Support. Any change in the relationship must be approved by both the ASAE Board and the Commission.
4. The Commission governance structure and appointment process shall be consistent with the following principles:
   a) The Commission shall be solely responsible for its internal governance structure and appointment process, which shall incorporate a commitment to engagement, transparency, diversity and a responsiveness to stakeholder interests, reflecting current best practices and requirements of accredited certification bodies. The Commission shall retain the right to develop policies and procedures (e.g., alternate term limits) different than other ASAE groups in order to maintain the quality and integrity of the certification process. A stated rationale shall be made public by the Commission to document such variances.
   b) As deemed appropriate by the Commission, the Commission's appointment processes and volunteer experience shall incorporate (and be incorporated in) ASAE's volunteer appointment and volunteer experience policies and procedures (such as the call for volunteers; volunteer recognition; and volunteer reimbursement policies).
   c) As an essential stakeholder in the CAE Program, the Commission shall include an ASAE representative as a voting member. The ASAE Chair shall be provided the opportunity to nominate an individual to serve as the

ASAE representative to the Commission. The nominee must meet the requirements for service designated by the Commission.

5. With respect to funds for the Commission, the Commission will:
   a) budget, in collaboration with ASAE, to achieve a breakeven financial position, including the anticipated projected costs for the job analysis study and other projects essential to conducting effective and thorough certification and renewal activities;
   b) not engage in fundraising or activities outside the scope of certification and renewal activities; and
   c) follow ASAE policies for fiscal management (such as procedures for bidding contracts), but shall retain the right to develop policies and procedures different than other ASAE groups. When such variance is deemed by the Commission as desirable to maintain the quality and integrity of the certification process, a stated rationale shall be made public by the Commission.
6. With respect to staffing for the CAE Program:

   a. The Credentialing Director will report to the Commission on policy and implementation matters essential to the integrity of the credential such that the CAE Program retains autonomy in decision making over all essential certification activities.

   b. ASAE shall be responsible for all aspects of human resource administration for credentialing staff.

7. ASAE is committed to continue to support the CAE credential through the assurance of funds for activities essential to maintenance of the certification program to industry standards, including support for ongoing operations, periodic job analysis, and extenuating circumstances related to the security and integrity of the certification process.
8. The Commission shall undertake its best efforts to earn and maintain accreditation of the CAE Program to demonstrate its maintenance of certification industry standards. The Commission shall also undertake to conduct the certification program and all activities in accordance with its established Standing Rules and Policies ("Policies"), all applicable ASAE policies and procedures, and the terms of this Agreement. The Commission agrees to notify ASAE of any changes to the Policies.

IN WITNESS WHEREOF, the authorized representatives of ASAE and the Commission have signed below to indicate their acceptance of these terms.

AMERICAN SOCIETY OF ASSOCIATION EXECUTIVES



Signature

John H. Graham, IV, CAE, President & CEO
Name and Title (Print)

CAE COMMISSION



Signature

Mark A. Smith, Ph.D., CAE, Chair, CAE Commission
Name and Title (Print)