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# **POLICIES & PROCEDURES**

## **MANUAL**

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Revised 7/25/2024



## **INTRODUCTION**

This manual is a resource for members of the Board of Governors and committee members of the American Board for Transplant Certification on the policies and procedures followed by the organization. The document defines operational guidelines, facilitates communication, provides consistency and enhances the productivity of the organization. All policies and procedures referenced herein have been approved and authorized by the Board of Governors. The Board of Governors and the Executive Office staff are expected to become familiar with, adhere to, and enforce the policies stipulated.

The ABTC is guided by the following principles:

### **ABTC MISSION STATEMENT**

Setting standards that distinguish transplant professionals through certification.

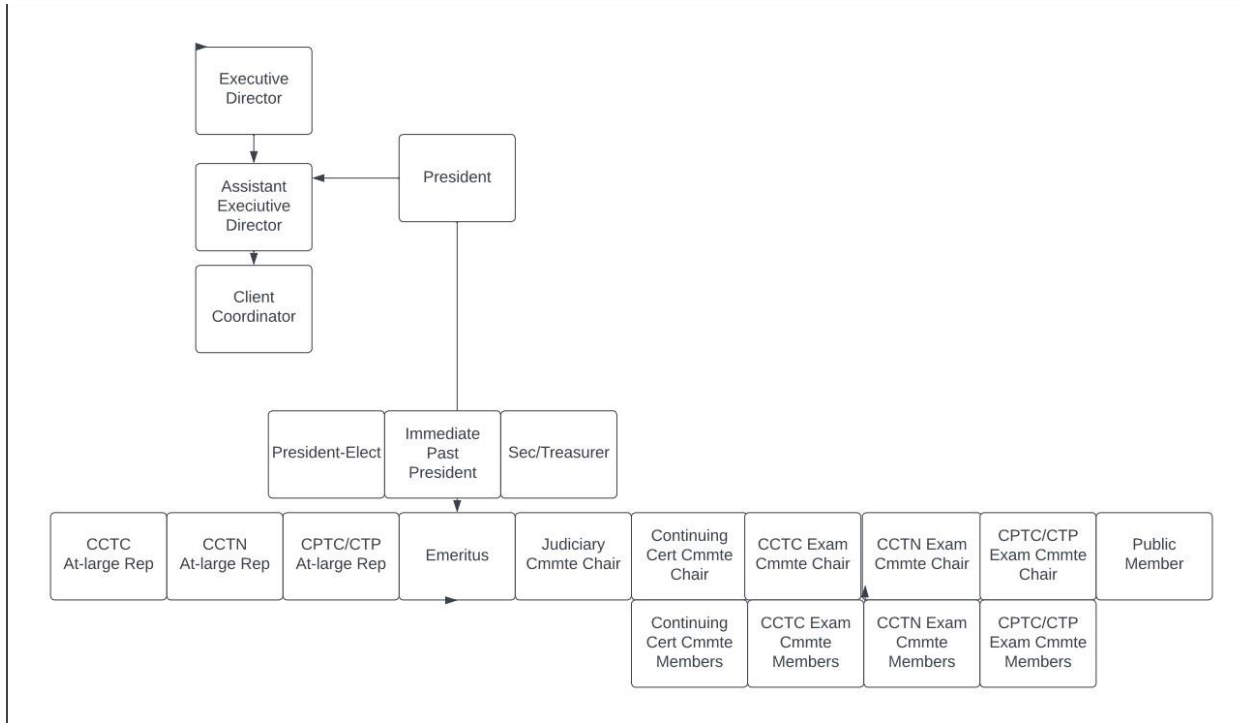
### **ABTC VISION STATEMENT**

Advance the field by certifying every donation and transplant professional.

### **ABTC'S STATEMENT OF DIVERSITY AND INCLUSION**

We are committed to the inclusion of all cultures, ethnicities, and levels of experiences. It drives us as we uphold our mission, strive to attain our vision, and keeps us connected with our members at large and the transplant community we serve.

## ORGANIZATIONAL CHART



## DESCRIPTION OF CREDENTIAL

The ABTC administers four credentials:

- “Certified Clinical Transplant Coordinator, (CCTC)”
- “Certified Procurement Transplant Coordinator, (CPTC)”
- “Certified Clinical Transplant Nurse (CCTN)”
- “Certified Transplant Preservationist, (CTP)”

The credentials are awarded to transplant professionals who achieve a passing score on the respective certification examinations.

The credential is granted for a term of three years. Practitioners recertify by submission of appropriate documentation of continuing education and required fees or by re-examination.

**POLICY 1**

**BOARD OF GOVERNORS POLICIES AND PROCEDURES**

1. Each member shall fulfill the duties and responsibilities of their respective office as stated in the bylaws.
  - a. Each member shall attend all meetings and participate in all conference calls of the Board of Governors. If a board member cannot be present, the President must be notified in advance of the meeting. If a member is attending remotely, participation must be for the entirety of the meeting.
  - b. Each member shall be familiar with and adhere to the policies and procedures as outlined in this manual.
  - c. Each member shall sign and adhere to a confidentiality/conflict of interest agreement annually.
  - d. Each member shall perform all actions on behalf of the American Board for Transplant Certification and be guided by the fiduciary responsibilities of duty, care, and obedience.

**Section 1.1**

**PRESIDENT**

**Roles and Responsibilities**

1. Serve as official spokesperson for ABTC.
2. Serve as ex-officio member of all ABTC committees.
3. Communicate with Executive Staff and other Board members as necessary to conduct the business of ABTC in a timely and efficient manner.
4. Conduct Board meetings in accordance with Robert’s Rules of Order to ensure accepted practices for voting, timely conduct of the meeting, and that appropriate time and attention is given to opinions and issues that concern each Board member.
5. Review and sign contracts that are binding to the ABTC for management, test development and administration, meeting space and sleep accommodations, and any other contracts relevant to the business of ABTC.
6. Maintain awareness of all issues that affect ABTC and its certified registrants.
7. Oversee an organizational strategic plan for ABTC, which addresses both short-term and long-term goals.
8. Work in close conjunction with the Executive Staff to facilitate conduct of ABTC business

in a timely manner.

**Section 1.2 BOARD MEMBER EMERITUS**

**Roles and Responsibilities**

1. Serve in an advisory capacity to the Executive Committee of the board and the Executive Director/Associate Executive Director.
2. Provide Counsel to the Board of Governors in prioritizing projects and needs in alignment with the mission, vision and goals of the board.
3. Participate in meetings/projects commensurate to their area of expertise as determined by the Executive Committee.
4. Represent ABTC in a Board Member capacity and is encouraged to attend events supported by ABTC as requested.
5. Shall be expected to attend at least one board meeting per year.

**Section 1.3 PRESIDENT-ELECT**

**Roles and Responsibilities**

1. Fulfill all duties of the President in the President's absence.
2. Maintain awareness of all issues that affect ABTC and its certified registrants.
3. Serve as a member of the ABTC Judiciary Committee.
4. Perform other duties as assigned by the Board of Governors.

**Section 1.4 SECRETARY-TREASURER**

**Roles and Responsibilities**

1. Ensure votes taken, resolutions made, issues discussed, and action steps agreed on during all Board of Governors meetings and conference calls are recorded.
2. Ensure that all action step outcomes are recorded.
3. Serve as a member of the ABTC Judiciary Committee.
4. Oversee the financial transactions of the organization, preparation of budgets and financial statements for the Board of Governors' review; execute certain financial instruments via

signature; and authorize certain financial relationships on behalf of the Board that are required by policy and/or law.

5. In cooperation with the Executive Office and other administrators, assure that necessary financial instruments, tax returns, etc. are filed and executed with the appropriate authorities in a timely manner.
6. Perform other duties as assigned by the Board of Governors or as required by changes in applicable policies, laws, and statutes.
7. Ensure the conduct of an independent financial audit or review at the end of each fiscal year
8. Perform other duties as assigned by the Board of Governors.

## **BOARD POLICIES**

### **Minutes**

Minutes are circulated to Board of Governors within 14 days of a board meeting.

## **Section 1.5                    CCTC/CPTC-CTP/CCTN EXAMINATION COMMITTEE CHAIRS**

### **Roles and Responsibilities**

1. Execute a Confidentiality/Conflict of Interest/Copyright Assignment Agreement.
2. Assure appropriate, qualified membership on the committee as specified by the bylaws.
3. Participate in and assure committee member participation in item development, form review and scoring review.
4. Represent committee on Board of Governors.
5. Schedule and attend all necessary meetings to construct the examinations each year.
6. Review committee policies and procedures and bylaws with committee members.
7. Make recommendations regarding policies and procedures to Board of Governors.
8. Report examination results to Board of Governors.
9. Follow nomination procedures to fill vacancies that may occur either by expiration of term or resignation of member.



## **Section 1.6            CCTC/CPTC-CTP/CCTN EXAMINATION COMMITTEE MEMBERS**

Each member of the examination committee is required to maintain ABTC certification throughout the term of committee membership. Recertification can only be achieved by continuing education. Members of the committee are not allowed to recertify by examination while they are serving on the examination committee and for a period of three (3) years following their membership on the committee.

Each member will maintain the highest level of confidentiality regarding the examinations. Examination committee members are responsible for maintaining strict security for all examination materials. Any breach of security of examination materials will be reported to the committee chair, President of ABTC and the testing firm Program Director immediately.

### **Roles and Responsibilities**

1. Execute a Confidentiality/Conflict of Interest/Copyright Assignment Agreement.
2. Conduct exam development activities.
3. Confirm the eligibility of requirements and eligibility status of applicants.
4. Review exam administration policies and procedures.

## Section 1.7

## CONTINUING CERTIFICATION COMMITTEE CHAIR

### Roles and Responsibilities

1. Assure appropriate, qualified membership on the committee as specified by the bylaws.
2. Represent committee on Board of Governors.
3. Review committee policies and procedures and bylaws with committee members.
4. Review educational offering for CEPTCs and recertification application forms with Executive Office
5. Recommend new committee members when vacancies occur either by expiration of term or resignation of a member.
6. Make recommendations regarding policies and procedures to Board of Governors.
7. Perform other duties as assigned by the Board of Governors.

### PROCEDURES

#### **Approval of Educational Offerings to Award Continuing Education Points for Transplant Certification:**

1. The **Executive Staff** will maintain "Guidelines for Providers of Educational Offerings" and applications and coordinate any revisions.
2. The **Executive Staff** will oversee all provider application procedures and fee collection and communicate any additional documentation/fee required to complete the application process and maintain a database of all approved offerings.
3. The **committee members** will review all initial applications and requests for approval of all single educational offerings.
4. At the completion of an approved offering, the **provider** is to forward a copy of the participant roster to the Executive Office for offerings greater than 1.5 CEPTCs.

#### **Committee Guidelines for Educational Offering Review:**

1. There are two (2) types of applications:
  - a. Single Offering - A continuing education offering dealing with specific content presented once.
  - b. Approved Provider - A sponsor who applies for this status and is approved by the ABTC to grant CEPTCs directly for numerous offerings for a one (1) year period.

2. Single applications should be reviewed by committee members for the following:
  - a. Program Goal - purpose of the educational offering. The program goal should be stated in the brochure or included in the application packet.
  - b. Target Audience - participants expected to receive benefits from the educational content (i.e., nurses, physician assistants, physicians, clinical transplant coordinators, procurement coordinators).
  - c. Learning Objectives - measurable outcome expected from the participant after the completion of the program; "At the end of the program, the participant should be able to..." These objectives should use verbs, which state cognitive outcome expectations - knowledge, comprehension, application, analysis, synthesis, evaluation and be included in the materials submitted.
  - d. Teaching Methodology - method of instruction (i.e., slides, lecture, discussion, role-playing).
  - e. Faculty/Program Committee Member Credentials - These may be provided by completion of a *Course Director/Faculty Data Form* or a copy of the instructor's curriculum vitae. At least one member of the planning committee must hold a current ABTC certification. These should be reviewed for expertise in the particular subject matter to be presented.

#### Appropriate Continuing Education

Educational offerings designed to enhance learning and develop knowledge and skills consistent with the current clinical transplant and recovery standards of practice.

#### Continuing Education Points for Transplant Certification (CEPTCs):

- One contact hour = one CEPTC
- One CEPTC = 60 minutes of conference/class/lecture time (educational contact hour)

#### Category 1:

- Programs offered by hospitals, professional associations, or independent education groups, i.e. AATB, AOPO, ATCO, ISOP, NATCO, ITNS and UNOS that:
  - have direct application to the transplant recipient and/or the family or the donor and/or the family.
  - address skills utilized by the clinical transplant/recovery coordinator, transplant preservationist or clinical transplant Registered Nurse.
  - have impact on clinical transplant/procurement assessment data.

#### Category 2

- Continuing education activities planned to meet the individual's potential for

professional growth in a broad area of healthcare.

Evaluation – The survey tool developed for participant completion should provide input into the following:

1. Whether the content met the stated objectives and was relevant to practice;
2. The expertise and teaching effectiveness of each presenter;
3. The appropriateness of the learning environment; and
4. Achievement of personal objectives established by the participant.

Attendance Certificate - Documents the participant attendance at the educational offering. The following must be included on the certificate:

1. Sponsor name
2. ABTC approval number (provider number)
3. Name of participant
4. Offering title
5. Date of offering
6. Contact hours (CEPTCs) awarded
7. Category of CEPTCs awarded
8. The following phrase: "DO NOT SEND THIS CERTIFICATE TO THE AMERICAN BOARD FOR TRANSPLANT CERTIFICATION. MAINTAIN IT FOR YOUR PERSONAL RECORDS."
9. Participant Roster - form used by the sponsor to document participant once at an offering; the sponsor may use the examples provided in the application packet or develop own.
10. Executive Staff will confirm all proper documentation is received from the provider and all contact hours have been correctly determined

## **Section 1.8**

### **JUDICIARY COMMITTEE CHAIR**

#### **Roles and Responsibilities**

1. Assure appropriate, qualified membership on committee as specified by the bylaws.
2. Represent committee on Board of Governors.
3. Oversee and ensure a fair and equitable review and appeals process in accordance with Appeals Procedures and Professional Code of Conduct.
4. Recommend new committee members when vacancies occur either by expiration of term or resignation of a member.
5. Respect and implement extreme caution and concern regarding all matters of right of privacy and confidentiality.

6. Perform other duties as assigned by the Board of Governors.
8. Review with the committee the policy and procedures manual annually.
9. Review with the committee the bylaws semi-annually on odd-numbered years.

## **Section 1.9**

## **JUDICIARY COMMITTEE**

### **PROCEDURES**

#### **Appeal**

##### Publication and Notice of Appeals Procedure

A copy of the "Procedures for Appeal" shall be included with the written notification of an adverse decision, finding or determination set forth by the Board of Governors of the ABTC. Said notification shall be sent to the appellant via certified mail, return receipt requested.

##### Appeal Initiation

1. A written notice of appeal containing a statement of all matters and questions claimed to be in dispute, and of all reasons and evidence supporting such claim will be mailed to the President of the Board of Governors, together with a copy thereof to the Judiciary Committee Chair.
2. Such mailing of the two copies of the notice of appeal shall be Certified mail, return receipt requested, and shall each be postmarked no later than thirty (30) days after the decision which causes the appeal.
3. If the appeal is being made regarding a decision on the qualifications of an applicant to participate in the examination process and to the extent that such a rejection is based on the lack of the applicant's qualifications, supporting documentation is required.
4. The Judiciary Committee Chair, acting with or without request of the applicant, may extend any turnaround time stipulated in these policies by a period of an additional thirty (30) days to consider any matters being appealed.

##### Review Process

1. The Executive Office will forward any appeals received in the Executive Office to the Judiciary Committee chair within 24 hours of receipt.
2. Upon receipt of an appeal (within the time period stipulated in these policies), the appellant's letter and other written information shall be transmitted by the Judiciary Committee Chair to members of the Judiciary Committee. This information is mailed to committee members and the ABTC Chair within fifteen (15) days of receipt of the documents submitted by the appellant.

3. The Judiciary Committee shall convene by the most expeditious mode of communication to determine its recommendation and submit the issue to the Board of Governors within fifteen (15) days of transmittal of the information described above.

#### Decision

The recommendation of the Judiciary Committee shall be provided to and approved by the Board. The decision of the Board of Governors as to the findings of the appeal shall be final.

### **Revocation of Procurement, Clinical Transplant Coordinator, Clinical Transplant Nurse or Transplant Preservation Certification**

Procurement Transplant Coordinator, Clinical Transplant Coordinator, Clinical Transplant Nurse or Transplant Preservation Certification and Recertification may be revoked for any of the following reasons:

1. The individual was ineligible at the time of granting or issuance of such certificate under the provisions of the bylaws, whether their ineligibility was known or could have been ascertained by the Board at the time of the granting or issuance of such certificate.
2. The individual made any misstatement or misrepresentation of fact, failed to state or concealed any fact, either in their application for such certificate or otherwise, as to any matter referred to in such application or in any of the preceding sections of this Article.
3. Any other violation of the ABTC Ethical Standards revocation recommended by the Judiciary Committee and approved by the Board.

#### **Return of Credentialed Certificate**

In the event any certificate is revoked as herein provided, its status shall be updated in the certification verification.

### **Section 1.10**

#### **AT-LARGE REPRESENTATIVE**

#### **Roles and Responsibilities**

1. Represent the membership at ABTC Board of Governors meetings.
2. Communicate with certificants regarding issues brought before the Board and receive feedback from certificants to communicate back to the Board.
3. Participate on appropriate committees, i.e. CCTC, CCTN, CPTC/CTP Examination Committees for the duration of term.
4. Serve as a member of the Judiciary Committee
5. Perform other duties as assigned by the Board of Governors.

**Section 1.11**  
**Roles and Responsibilities**

**PUBLIC MEMBER**

1. Represent consumers of ABTC services.
2. **Must not** be a previous or current member of the profession; employer or employee of individuals in transplantation; an employee of an individual certified by ABTC; current employee of a certification organization; receive income from transplantation currently or within the previous five years; have worked for or provided contract services to ABTC at any time during the five year period preceding the appointment to the board.
3. Other duties as assigned by the Board of Governors.

**POLICY 2**

**OPERATIONAL MANAGEMENT**

The Board of Governors delegates to the Executive Office staff responsibilities in the following areas related to the business affairs of this organization:

1. Administration.
  2. Board of Governors, and committee member orientation and assistance in accomplishing goals and objectives.
  3. Meeting scheduling and planning.
  4. Implementation of fiscal, legal and correspondence duties.
- The Executive Staff serves as ABTC's chief executive officer. The official position title of the Executive Staff as used throughout this document is meant to refer to the highest position of authority within the ABTC staff at any given time. The specific title of this position may vary.
  - The Executive Staff reports directly to the board and is ultimately responsible for the operation of all programs, the management of all fiscal resources, the supervision of all staff, vendors, consultants, and contractors, and the provision of quality services to and by ABTC.
  - The Executive Staff directly supervises the activities of the administrative staff and works closely with the board's legal counsel and consultants.
  - Final approval for employment, promotion, or termination of staff is the responsibility of the Executive Staff and/or Management Company consistent with guidelines set by the Board.

In conjunction with these broad categories of responsibility, the Executive staff is specifically charged with several duties within each category according to the management contract, which in some cases defines operating policy. Where specific procedures are not outlined, the Executive Staff may develop and implement policies, after approval by the Board of Governors, to carry out assigned responsibilities in keeping with prudent business management practices.

## **Section 2.1**

### **ADMINISTRATIVE DUTIES**

1. Provide a "management team" adequate to conduct the organization's business.
  - a. Inform the Board of Governors in writing of changes in the "management team".
  - b. Ensure adequate supervision is available in the Executive Office in the absence of the Executive Director.
2. Establish the assignment of duties appropriate to the conduct of business.
3. Comply with all Federal, State, and local requirements for corporations engaging in a business such as ABTC.
4. Secure and maintain insurance for the Board of Governors as appropriate.
5. Provide administrative assistance to the Board of Governors as directed.
6. Enforce the bylaws and policies as directed by the Board of Governors.
7. Fulfill the terms and conditions contained in the management services contract.
8. Provide a routine report to the Board of Governors regarding the activities of the Executive Office and the current status of ongoing projects.
9. Provide an annual calendar of projects to the Board of Governors.
10. Provide orientation materials to all Board members prior to the first Board meeting of the year.
11. Answer a dedicated ABTC telephone line and process incoming and outgoing mail.

## **Section 2.2**

### **FISCAL RESPONSIBILITIES**

1. Maintain an accounting procedure and system of reporting, approved by the Secretary-Treasurer and Board of Governors that are in accordance with generally accepted accounting procedures (GAAP).
2. Maintain checking accounts and such other investments as directed by the Treasurer.
3. Maintain a local depository for funds received.
4. Provide monthly financial statements to the Board of Governors and monthly reports to the Treasurer and Chair.



5. Enforce the reimbursement policies established by the Board of Governors.
6. Assist the Treasurer with the preparation of the annual operating budget.
7. Establish and maintain internal office procedures to ensure careful control is exercised over the receipts and disbursements of this organization.

### **Section 2.3**

#### **CORRESPONDENCE AND LEGAL DUTIES**

1. Assist the Secretary in enforcing the correspondence policies established by the Board of Governors.
2. Retain legal counsel for the organization as approved by the Board of Governors.
3. Receive and distribute or dispatch all correspondence received in a timely fashion.
4. Maintain all necessary files and records of the organization, including the official minute book.
5. Maintain an appropriate filing and data retrieval system.
6. Distribute the minutes of all meetings within two weeks of the meeting.
7. Prepare and distribute Board Agenda Books for Board of Governors and Committee meetings at least one week prior to each meeting.
8. Conduct the bi-annual election of the Representative(s) of the American Board for Transplant Certification to the Board of Governors using an electronic voting system. Distribute notices to all certified members offering them the opportunity to run for the position, compile the curriculum vitae of each candidate, prepare the ballot and biographical summaries of the candidates for board approval prior to distribution of the election ballot, distribute the ballot and summaries to each certified member for voting. Report tabulated results within seven days of the close of the election.
9. The Executive Staff will be responsible to the Board of Governors in assuring that terms of offices and replacements are identified and carried out according to the bylaws.

### **Section 2.4**

#### **MEETING SCHEDULING AND PLANNING**

1. Arrange for meeting space and hotel accommodations for Board of Governors meetings and Examination Committee meetings as necessary. Negotiate with hotels, travel agents, and other service organizations as required.
2. Work with a corporate travel agent to provide travel assistance with airline tickets and

hotel reservations.

3. Distribute meeting and transportation information to all Board and Examination Committee members prior to each meeting.
4. Receive meeting summaries after each examination committee meeting each year from ABTC's Examination Vendor.

**Section 2.5 MAINTAIN CERTIFICATION RECORDS**

1. Maintain existing management and testing firm's proprietary computer software to maintain records of those passing the ABTC examinations.
2. Develop and maintain reporting programs.
3. Ensure transfer of records of those candidates who pass the examinations to the certification platform.

**Section 2.6 RECORD RETENTION POLICY**

ABTC records will be retained by the management firm under contract to the ABTC for the time frames listed below.

<b><u>Type of Record</u></b>	<b><u>Period</u></b>
<b><u>Accounting</u></b>	
Auditors' reports	Permanent
Budgets	2 years
Bank deposit slips	4 years
Bank statements, reconciliations	4 years
Canceled checks	4 years
Check request authorizations	4 years
Annual financial statements	Permanent
General Ledger	Permanent
Check registers	Permanent
Invoices	4 years
Income Tax Records	Permanent
<b><u>Board Records</u></b>	
Annual Reports	Permanent
Bylaws	Permanent
Minutes	Permanent
Contracts	Permanent
Policies and Procedures	Permanent
Confidentiality Statements & Consent to Serve Agreements	per term

Legal

Closed claims and litigation files	10 years
Copyright, trademark registration	Permanent

Examination Records

Job Analyses Final Reports	Permanent
Individual Applications for Examination	Permanent
Score Reports	Permanent
Examination Pass/Fail Lists	Permanent
Exam Development Reports	Permanent

Recertification Records

Individual Recertification Summary Forms	Permanent
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**Section 2.7 INTERACTION WITH SPECIFIC COMMITTEES**

1. CLINICAL/PROCUREMENT/TRANSPLANT NURSE EXAMINATION COMMITTEES

- a. Coordinate the design and printing of certificates.
- b. Maintain credential verification functionality on the certification platform.
- c. Prepare and distribute conflict of interest, confidentiality and copyright agreements to item writers.
- d. Maintain close communication with ABTC Board members and refer specific credentialing questions, and examination cancellation requests, CCTC, CCTN, CPTC/CTP Exam Chairs.
- e. Coordinate the revisions to the examination application form and the ABTC Candidate Handbook and provide it to the Exam Committee Chairs and Board of Governors Chair for review and approval.

2. CONTINUING CERTIFICATION COMMITTEE

ABTC requires recertification every three years to ensure that certificants remain current with their knowledge and skills in transplantation, continued advances in procedures, standard protocols related to patient care. Continuing education is required to keep up with these changes. Demonstration of continued competence can be achieved either through participation in continuing education activities or re-examination. The ABTC Continuing Certification committee is charged with the responsibility of reviewing educational offerings that apply for Continuing Education Points for Transplant Certification (CEPTCs) to ensure that the certificant is obtaining a minimum number of CEPTCs that demonstrate quality knowledge and training directly related to transplantation.

Specific committee responsibilities for approving education providers are as follows:

- a. Coordinate the revision of recertification policies as deemed necessary to be

completed by all credentialed individuals upon their three (3) year certification anniversary.

- b. Coordinate and prepare the mailing of the congratulatory letter, and credentialed certificate to each approved recertificant.

#### CONTINUING EDUCATION

- a. Coordinate the revision and printing of the program provider applications as needed.
- b. Distribute the program provider applications for single or approved provider offerings to all requestors.
- c. Forward provider application with appropriate materials to the committee for review and approval.
- d. Send approval letter to the respective organization within seven (7) days from the date program approval is received by the Executive Office from the Continuing Certification Chair.
- e. Maintain an electronic database of the various education offerings in all continuing education divisions: single offering, multiple offering, corporate provider offerings and approved provider offering.

### **POLICY 3**

### **QUALITY ASSURANCE**

#### **EXAMINATION ADMINISTRATION COMPLIANCE: MONITORING AND SECURITY**

ABTC will monitor the performance of its testing vendor to ensure procedures are followed to eliminate causes of errors during testing administration and scoring. The following procedures have been determined to address compliance and error complaints:

1. ABTC selected members and/or staff will conduct occasional site visits to randomly selected assessment centers to observe administration procedures, test facilities, and security checklist monitoring. A report will be provided for Board review.
2. ABTC provides avenues for examination candidates to file a complaint or comment regarding their testing experience whether during or after their examination takes place. Candidates are instructed by the testing vendor to contact ABTC directly regarding any irregular occurrences during the testing experience.
3. Should ABTC find noncompliance of examination administration procedures or find merit in a candidate's complaint of irregularities while testing, ABTC will initiate an investigation with the testing vendor to determine if the testing environment affected the candidate performance
4. For errors found after an examination is taken, such as an item that is marked consistently incorrect, the item is flagged for reviewers at the testing vendor facilities and carefully considered after the exam takes place. A report is made to ABTC by the testing vendor (PSI). If a question is keyed incorrectly, the committee will determine whether or not the incorrect key will affect a failing result to a passing result for any test taker. If so, a revised score report is generated and provided to the test taker with an explanation.

## **POLICY 4**

## **DEALING WITH ERRORS**

**Types of errors** – The potential for errors exists in three broad categories:

- Eligibility determination
- Examination content
- Administration environment
- Recertification

For each potential source, mechanisms are in place to help identify those errors as well as to remediate any situation while maintaining fairness to applicants, candidates, and certificants as well as upholding the integrity of the ABTC credential.

### **Eligibility determination**

*Identification of errors* – the primary potential error would be a denial of an applicant who indeed should have been determined to be eligible. In such cases, identification would normally involve an inquiry by the applicant. Less common could be the reverse situation in which an applicant is granted eligibility without meeting the requirements, and in this case, identification could come from a fellow applicant or some other party through ABTC Code of Conduct procedures.

*Remediation* – ABTC is committed to ensuring the eligibility of every applicant is carefully reviewed, and the primary remediation is therefore avoidance of such errors. If either of these situations occurs, ABTC staff will promptly follow up with the applicant to ensure an accurate determination of eligibility.

### **Examination content**

*Identification of errors* – working with our examination service provider (PSI), ABTC has numerous processes in place to avoid errors of examination content. These processes include careful review and unanimous approval of new examination items by the Examination Committees, verification of references, and inclusion of unscored items for pretesting. Following pretesting, PSI's psychometric staff reviews item analyses and candidate comments to identify items that may not be suitable for transition to active status for future use as a scored item. The ABTC Examination Committees approve all examination forms prior to delivery to candidates. Upon first use of a form, PSI staff will generate an item analysis and candidate comment report following administration to a relatively small number of candidates and bring any items with aberrant performance characteristics to the attention of ABTC.

*Remediation* – In consultation with service provider psychometric staff, ABTC will take appropriate action to maintain fairness to the candidates, as well as to uphold the integrity of the ABTC credential. These actions could include rescoring candidates' responses and issuing new score reports, if appropriate.

### **Administration conditions**

*Identification of errors* – there are two primary mechanisms that could help identify potential errors with conditions during the administration of the examination:

1. Notification by our examination services provider
2. Notification by candidates.

Regarding the first method of identification, ABTC has confidence in PSI's procedures for administration but recognizes that events beyond the control of PSI can occur. If a candidate identifies a potential error, the first action by ABTC will be to contact PSI and collect full information about the situation. When full information is available, ABTC will work with PSI to determine appropriate remediation.

*Remediation* - Upon notification of any examination administration irregularity, ABTC will work with PSI to promote fairness to the candidates, while upholding the integrity of the ABTC credential.

### **Recertification**

*Identification of errors* - To maintain CCTC/CPTC/CCTN/CTP status, the candidate seeking recertification from the American Board for Transplant Certification (ABTC) must accumulate 60 Continuing Education Points for Transplant Certification (CEPTCs) within the three-year period prior to the recertification submission deadline of December 31<sup>st</sup> (when certification will expire).

A minimum of 20 ABTC Approved CEPTCs submitted in Category 1. The primary potential error would be a denial of an applicant who may have actually met the recertification requirements. In such cases, identification would involve an inquiry by the renewing certificant. Less common could be the reverse situation in which an applicant is granted renewal of certification without appropriately meeting the requirements.

*Remediation* - If a certificant's recertification documentation is in question as to whether or not they have met all of the criteria for recertification criteria, it will first be reviewed by the executive office staff, and if warranted, the Continuing Certification Committee within a reasonable time once a complaint is made. Certificants will be notified accordingly

### **ABTC's ESTABLISHING AND MONITORING PERFORMANCE STANDARDS POLICY**

The ABTC Board approves a cut score following a Standard Setting workshop. Cut scores (passing points) using a criterion-referenced method (e.g., Angoff) following any change in examination specifications, and preserves that cut score through pre-equating of subsequent examination forms, with support from the testing vendor (PSI).

ABTC monitors on a monthly basis the testing outcomes portal provided by its testing vendor, PSI. Passing rates are reviewed and monitored each month to evaluate the extent to which the ABTC examinations meet expectations. ABTC recognizes that candidate testing volumes are sometimes small and fluctuate each month, and pass rates can differ accordingly, however, by monitoring the rates, ABTC can work with its testing vendor, PSI, to identify any fluctuations in passing rates that might be indicative of a situation in which an ABTC examination is not serving its intended purpose. In such situations, ABTC will investigate and follow up as indicated.

### **POLICY 5**

### **VENDOR SECURITY POLICY**

### **SECURITY**

Security is of paramount importance to PSI. Potential employees are thoroughly screened and a background check is completed before hire. Security procedures regarding the handling of secure test materials, building access for non-PSI personnel, shipping and receiving, examination review and item writing meetings and test administration are designed to provide maximum security for its clients. All PSI staff members are thoroughly trained and highly knowledgeable about security procedures, and policies are strictly followed and continually reviewed for effectiveness. As part of this ongoing process, all staff must take part in video-based instructional programs and are provided with continual documentation on policy and procedure changes and reminders. Staff is also required to pass an annual computer-based security examination.

Internally, PSI's Executive Office is protected by a 24-hour security magnetic card entry system and 24/7/360 video surveillance (interior and exterior). They also employ numerous redundant communication network subsystems and co-location data storage requirements that ensure the integrity of all information even in the event of a power failure or natural disaster. Secure materials are held in locked containers until final disposal and all computer programs containing sensitive materials are protected with limited access. Managers regularly review all aspects of secure material handling, evaluate each staff member's adherence to established procedures and take appropriate action to correct any observed difficulties. In addition, all PSI staff sign a Confidentiality/Security Agreement, which is a legally binding contract prohibiting any individual from disclosing company or client confidential information, during or after their employment.

PSI safeguards client data throughout all work processes. All computer programs containing sensitive information are protected with strict authentication policies and event logging. Item pools, test files and scoring keys will be maintained on PSI's proprietary computer banking and analysis programs. Electronic permissions are based on staff members' role and limits access to any client's item pool or exam forms to only the necessary staff members. Staff computers are protected by current DOD-approved operating systems operating in conjunction with multiple local and external firewalls. PSI also has written procedures for employee computers on access control and password protection. These procedures are systematically enforced through our authentication services which require strong password and policy-based change periods. Additionally, all remote systems require two separate methods of authentication to access PSI's secure internal network. All notebook PCs used by staff also feature biometric identification for access. Further, all corporate notebooks incorporate unique tracking software which will identify their locations and enable remote "wiping" of the hard drive. All sensitive data is transported mechanically or electronically outside of our internal secure network is encrypted through certified-secure tunnels or using high-strength encryption using biometric techniques.

Security procedures are also in place at all PSI Assessment Centers. Tests are delivered to the test sites on the day of the exam using a state-of-the-art 128-bit encryption technique. PSI examinations are delivered to the assessment centers just-in-time over dedicated high-speed networks and removed after administration and typically, do not permanently reside on computers at the assessment centers. Verification of candidate identity and other security procedures related to the administration are strictly enforced. Every candidate will register with a trained and certified Assessment Center Proctor and must present photo identification. Each candidate will have a digital picture taken (included on the score report form) and, may be subject to an electronic fingerprint captured for identification verification.

Candidates are also monitored throughout the administration by trained staff. No written materials or personal belongings will be allowed within the testing area during the examination.

In addition to the on-site staff, the area is continuously monitored by state-of-the-art surveillance equipment. All sites have audio/visual monitoring cameras. Many testing sites also feature PSI's newest 360 HD surveillance technology. This cutting-edge technology records simultaneously in all directions, capturing video, audio and even temperature at the site. All information is recorded 24x7x365 and offers real-time monitoring over PSI's high-speed networks from PSI's corporate headquarters, allowing PSI security personnel to perform instant inspection of any equipped site. With audio visual recordings, PSI can replay the full exam administration for any candidate within specific time periods at any equipped site.

In providing computer-based testing, PSI will ensure standardized testing conditions for all candidates and will monitor the results for examination performance and comments of candidates to provide evidence that the testing process is secure and fair at all times. To enhance security, LXR•TEST software can scramble the numbering of items within each form and the options within an individual item. Using this feature, the chances that candidates testing at the same time and place will receive an identical examination in the same question sequence are extremely remote. This renders the simplest and oldest form of cheating; looking at another person's work, virtually impossible. If security measures do uncover a candidate cheating, the individual will be removed from the assessment center without receiving a score report and the client will be notified.

We place an emphasis on security during all phases of test development, production, administration and scoring to ensure the integrity of each program. These procedures render a security breach very unlikely. However, if an issue is detected which affects the security of examinations, the client will be notified immediately and options for resolution of the situation at PSI's expense will be discussed. If it becomes necessary to retire and replace an examination form due to a documented security breach, PSI will not hesitate to do so. In such cases, PSI would correct the situation and initiate item writing activities to replenish the pools so that future examination quality is not affected.

## **POLICY 6**

## **PRIVACY POLICY**

In an effort to maintain efficient service while respecting the privacy of those who visit the American Board for Transplant Certification (ABTC) website and correspond electronically with ABTC, ABTC has created and posted the following privacy policy. This privacy policy is incorporated into and is a part of the [Terms and Conditions of Use](#) of the ABTC website.

ABTC is committed to keeping all candidate contact information confidential. We do not sell, rent or lease to third parties the emails of members, National Conference attendees or anyone else with whom we conduct business.

### **Information Collection and Use**

We will collect personally identifiable information that provided to the ABTC, including, but not limited to, your name, employer's name, address(es), telephone and email address. ABTC may use and store



such information in order to notify certificants and applicants of official ABTC business; provide a product or service requested; secure credential(s) status; analyze, evaluate, and improve certificant and prospective needs and interests; alert certificants and applicants of ABTC news, activities, courses and programs, services and benefits; and for other legitimate and lawful business purposes. Contact information from inquiries received by ABTC may be shared with ABTC certificants to provide a service, satisfy a question, or develop a prospective business relationship.

We may disclose personally identifiable information to the proper authorities if we become subject to a subpoena or court order, or if we are otherwise legally required to disclose such information. We also may use and disclose information about certificants and applicants to establish or exercise our legal rights, to enforce the [Terms and Conditions of Use](#) to assert and defend against legal claims, or if we believe such disclosure is necessary to investigate, prevent, or take other action regarding actual or suspected illegal or fraudulent activities or potential threats to the physical safety or well-being of any person. If all or part of ABTC is merged or otherwise transferred to another entity, we may transfer the personally identifiable information you provided to us to such entity as part of that transaction.

### **Registration and Order Forms**

In order to enroll or register in a program; attend ABTC events, meetings, or conferences; or request products or services; certificants and applicants may be required to fill out a registration or order form and provide personally identifiable information which we will use to process a registration or order. In certain circumstances, a program accessed through the website may be jointly sponsored or co-sponsored with other organizations and registration may or may not be handled by ABTC. In such event, this privacy policy will not apply – instead, such third-party's privacy policy will be controlling. ABTC is not responsible for the privacy policies of these other organizations (or their use of your personally identifiable or other information) and disclaims any liability or responsibility in connection therewith. In addition, certificant and applicant names and information may appear on registration or attendee lists distributed at ABTC events, meetings and conferences to other attendees and third parties. ABTC provides National Conference sponsors and exhibitors with attendee names and postal addresses, not email addresses. Attendees are granted access to a list of the names and institutions (including countries) of other registered attendees.

### **Cookies and Log Files**

Cookies are pieces of stored information used to provide smoother navigation throughout the website, such as a saved password; to identify user trends, such as page views; and for other internal purposes, such as assessing the effectiveness of the website. You have the option of setting your computer to disable cookies or to alert you when cookies are being used. If you choose to disable cookies, please be aware that portions of the website may not function properly.

### **Links**

There are links to other websites throughout the ABTC website. Please note that ABTC is not responsible for the privacy policies of those other sites and hereby disclaims any liability or responsibility in connection with such linked sites.

### **Security**

Online registration and information such as credit card numbers will be secured using a commercially accepted method of encryption for one-time processing. Credit card information will not be stored. However, while we employ reasonable security measures to protect your personal information, please be aware that no method of electronic transmission is completely infallible, and we cannot guarantee its absolute safety. If become aware of any breach of Site security, please contact us immediately.

### **Updating Personal Information and Participation**

Stakeholders may contact ABTC as set forth below to update your personally identifiable information, opt-in to, or opt out of any service at any time. We will provide opt-in and opt-out opportunities as applicable to the service or product being offered.

### **Privacy Policy Updates**

Should any changes be made to this privacy policy, ABTC will post them with appropriate explanation.

### **Acceptance of ABTC Privacy Policy Terms**

Using the ABTC website and certification platform indicates user's acceptance of our privacy policy. Continued visits to the ABTC website and certification platform after changes are posted to this policy will signify your acceptance of those changes.

## **POLICY 7**

## **SOCIAL MEDIA POLICY**

At American Board for Transplant Certification (ABTC), we encourage community engagement on our social media sites. We do not pre-moderate comments and welcome users' questions, comments and opinions. We do, however, reserve the right to delete or censor comments that meet the following criteria:

- violates an individual's medical privacy (either the commenter or someone else) by sharing personal patient information or protected health information of any kind.
- is abusive, violent or patently offensive.
- contains ad-hominem attacks.
- promotes hate of any kind.
- uses foul, profane or derogatory language.
- contains solicitations for other websites or spam.
- is reported as abuse.
- is offtopic.
- is posted using an alias or pseudonym.

Users are asked to remember, comments published on social media are public. The views and opinions expressed in comments on social media are strictly those of the individual commenter(s) and in no way represent the views and opinions of ABTC. The ABTC assumes no liability for the information therein and extend no implied or expressed warranty or guarantee of accuracy.

While ABTC will do it's best to respond to most comments, we cannot reply to every comment, particularly those that deal with individual medical cases and issues.

## **POLICY 8**

## **WHISTLEBLOWER POLICY**

### **Purpose**

The purpose of this whistleblower policy is to provide direction to all current and former directors, employees, contractors, subcontractors, agents, volunteers, landowners, vendors, donors, and partners of American Board for Transplant Certification (ABTC) regarding the communication of concerns on questionable financial or operational matters.

### **Defined Terms**

For the purpose of this policy the American Board for Transplant Certification is meant to be ABTC and includes all of its locations across the country.

### **The Whistleblower**

For the purpose of this policy the "Whistleblower" is meant to be any director, employee, contractor, subcontractor, agent, volunteer, landowner, vendor, donor, reporter, members of the general public or partner of the ABTC who has reported a whistleblower incident.

### **Whistleblower Incident**

A "whistleblower incident" is defined as a concern or possible wrongdoing related to the ABTC financial or operational matters. For greater clarity, whistleblower incidents are intended to include, but are not limited to, the following:

- Changing work from one project to other projects to stay on budget;
- "Side deals" or "under the table" dealings with contractors for personal benefit;
- Receiving personal kickbacks or significant gifts (over \$100) from contractors or vendors which could create bias in the tendering process;
- Inappropriate recording or reporting of revenues, or lack thereof;
- Inappropriate classification of assets and/or liabilities;
- A deliberate disregard or circumvention of Association policies;
- Embezzlement of ABTC assets by an individual or group of individuals;
- Inappropriate occurrences at an ABTC event; and
- Inappropriate projects for the benefit of a landowner or business, and not necessarily in the ABTC's interest.

### **Policy Statements**

It is the policy of the ABTC that the Whistleblower must immediately communicate whistleblower incidents as soon as the Whistleblower becomes aware of such situations.

Whistleblower incidents shall be communicated using the following ABTC-prescribed procedures:

Procedures for the Submission of Complaints or Concerns Regarding Financial Statement Disclosures, Accounting, Internal Accounting Controls, or Auditing Matters

To facilitate disclosures, encourage proper individual conduct and alert ABTC to potential issues before encountering serious consequences, ABTC deems it appropriate to use Section 301 of the Sarbanes–Oxley Act of 2002 as a guideline for the Board of Governors to establish procedures for:

- (a) the receipt, retention, and treatment of complaints received by ABTC regarding its financial statement disclosures, accounting, internal accounting controls or auditing matters; and
- (b) the submission by staff and certificants, on a confidential and anonymous basis, of good faith concerns regarding questionable accounting or auditing matters.

The Board of Governors has adopted the following “whistleblower policy” for implementation by ABTC:

1. ABTC shall review any complaints that it receives regarding financial statement disclosures, accounting, internal accounting controls or auditing matters. Any complaint will first be evaluated to determine whether it falls within the scope of this Policy. If the complaint does not appear to involve financial statement disclosures, accounting, internal accounting controls or auditing matters, it will be forwarded to the ABTC general counsel to handle in a manner they deem appropriate.

2. Any staff person or member of ABTC may submit any good faith concerns regarding financial statement disclosures, accounting, internal accounting controls, or auditing matters in accordance with the following procedures:

- (a) on a confidential and anonymous basis, the concern should be submitted in writing and sent in a sealed envelope via certified mail to ABTC's general counsel. This envelope is being submitted pursuant to the 'whistleblower policy' adopted by ABTC.” Any such envelope received by the general counsel shall be addressed appropriately. If a staff person or member would like to discuss any matter with the Board of Governors, the individual should indicate this in the submission and include a telephone number at which he or she might be contacted if the Board of Governors deems it appropriate.

(b) on a non-anonymous or non-confidential basis, the concern should be reported to ABTC's general counsel using the contact information specified below.

Michael Deese, Esq.

1485 Chain Bridge Road, Suite 204

McLean, VA 22101

The general counsel shall keep a written record of all such reports and shall make monthly reports of the same to the President in any month in which a concern is reported. If the alleged violation relates to ABTC's financial statement disclosures, accounting, internal accounting controls, or auditing matters, the reported concern shall immediately be relayed by the general counsel to the President. The President shall immediately notify the complainant that the concern has been received and that procedures, as outlined below, will begin.

3. Following the receipt of a complaint or a concern within the scope of this Policy, the Board of Governors will investigate each matter reported and take necessary and appropriate corrective or disciplinary actions. The status of all pending complaints will be reviewed at each regularly scheduled Board of Governors meeting.

4. The Board of Governors may enlist committee members, staff, and/or outside legal, accounting or other advisors, as appropriate, to conduct an investigation of complaints or concerns regarding financial statement disclosures, accounting, internal accounting controls, or auditing matters. In conducting any investigation, and to the extent possible consistent with the need to conduct an adequate review of any complaint or concern, the Board of Governors shall use reasonable efforts to attempt to protect the confidentiality and anonymity of the complainant.

5. ABTC will not tolerate retaliation of any kind (including without limitation discharge, demotion, suspension, threatening, harassing, or in any manner discriminating against any such person in the terms or conditions of his or her employment) against staff or certificants for complaints or concerns submitted hereunder that are made in good faith. Should the identity of any person making a complaint or reporting a concern hereunder be made known, the Board of Governors shall monitor any disciplinary action against such person. Additionally, no staff person or member shall be adversely affected because the staff person or member refuses to carry out a directive that, in fact, constitutes corporate fraud or is

a violation of state or federal law.

6. The Board of Governors shall retain as a part of its records for a period of no less than seven (7) years all such complaints and reported concerns, together with the proceedings of the Board with respect thereto. All such records will be treated as confidential information.

It is the policy of the ABTC that the Whistleblower will not be discharged, removed, or in any other manner discriminated against as a result of communicating a whistleblower incident. In the event the whistleblower is a reporter, s/he will not be subjected to any Retaliatory Actions if s/he files, causes to be filed, testifies in, participates in, or otherwise assists in any proceeding which is filed or about to be filed relating to such possible wrongdoing or concern. Any ABTC volunteer or management firm staff member found to be in violation of this policy will face disciplinary action.

Continued violation of this policy by volunteers and/or management firm staff (i.e., continued harassment of the Whistleblower) may result in removal or contract termination. The ABTC will not protect a whistleblower that intentionally makes false accusations in reporting of a whistleblower incident. It is the policy of the ABTC to treat all reported whistleblower incidents in a confidential and sensitive manner. In addition, the Whistleblower shall be provided the opportunity to remain anonymous.

#### Applicability

This policy applies to all current and former directors, employees, contractors, subcontractors, agents, volunteers, landowners, vendors, donors, and partners of the ABTC.

#### Available Resources

Procedures to enable the communication of whistleblower incidents can be accessed on the ABTC website at: [www.ABTC.net](http://www.ABTC.net).

## **POLICY 9**

## **NOMINATIONS COMMITTEE**

### **Section 9.1 COMMITTEE PURPOSE**

The Nominations Committee shall be responsible for the review and recommendation of the nomination of governors and the periodic review of volunteer and committee members. Their oversight of the effective functioning of the Board of Governors includes the following responsibilities:

- a. Shall nominate qualified persons to serve as members of the Board.
- b. Identify qualified individuals based on skills, and professional and educational experiences necessary.
- c. Review and recommend changes to the election procedure for the Board of Governors and Executive Committee.

## **Section 9.2 POLICY**

The Nominations Committee shall review the process for developing a slate of governors and officers using the following guidelines:

- a. Consider candidates based on ABTC's DEI statement.
- b. Oversee a process for circulating a call for nominations from certificants and other constituents.
- c. Utilize an interview process
- d. As a part of the nomination and election process, the ABTC President may call for nominations from the floor.

### **PROCEDURES:**

1. Meet as needed in order to accomplish its assigned tasks.
2. Prepare and submit a list of candidates to the Executive Committee for new board members  $\geq 30$  days before the summer Board meeting

## **POLICY 10**

### **TRAVEL EXPENSE AND REIMBURSEMENT**

In order for ABTC to be fiscally responsible, this policy provides guidelines for the board members of ABTC and other authorized travelers who incur travel expenses during the course of travel related to and approved by ABTC. ABTC recognizes the value of our volunteers and their time, and therefore this policy should not be construed as harsh or burdensome. While every travel expense situation cannot be predicted, this policy provides guidelines that will cover the majority of situations and can be used as a guideline for those situations that may vary from the norm. Specific questions on either this policy or unique situations can be addressed to the Executive Staff of ABTC. The ABTC Travel and Expense Reimbursement Policy applies to members of the board, committees, task groups, volunteers for special projects or special meetings, staff, and authorized representatives of ABTC who incur expenses while conducting ABTC business. The traveler must obtain and supply receipts for all reasonable expenses incurred during the course of authorized travel for ABTC as described below. Authorized travelers are encouraged to communicate with ABTC's Executive Staff for special circumstances or hardships that might be incurred during ABTC-related travel.

### **Section 10.1**

#### **Travel Arrangements**

- a. Travel arrangements should be booked through the current travel agent vendor.
- b. If the volunteer does not wish to use ABTC's travel agency, prior authorization of the fare should be approved in advance by ABTC's Executive Staff. Once arrangements have been made, volunteers are financially responsible for any alternations to their itinerary for personal reasons unless otherwise approved by the ABTC Executive Staff.
- c. There are certain situations (outlined below) where travelers may be asked to pay for personal

changes or choices with respect to ABTC provided travel. In those situations, the travel agent will notify ABTC of this change and then ABTC will either invoice the traveler, or if the traveler has paid for these changes and feels ABTC should cover, you may submit a request for reimbursement to the ABTC office.

## **Section 10.2**

### **Airline Travel**

- a. Coach class tickets for the lowest fare available from your point of origin to destination will be selected and billed directly to ABTC. Every effort will be made to accommodate preferences however airfare should not exceed \$500 when possible. Exceptions to the above policy must be approved in advance by ABTC Executive Staff. The travel agent may help facilitate contact with the ABTC Executive Staff for individual approval.
- b. Direct routes, i.e. direct non-stop, will be booked for most flights. However, per ABTC's instructions, the travel agent will suggest a non-direct flight should savings over \$100 be available and if a stop does not result in more than a two-hour delay. In any event, ABTC will not require an authorized traveler to make more than one stop in order to save expenses.
- c. ABTC will not reimburse for first class unless prior approval is received from the ABTC Executive Staff. An individual may fly first class by personally paying the difference in airfare.
- d. If after booking travel, the traveler chooses to cancel or modify the existing plane ticket, ABTC is not responsible for paying the difference of the new fare unless the change is due to ABTC changing the nature of the trip. Modifications can be requested from the Executive Staff who has the authority to review and approve these in advance.
- e. Unless circumstances are beyond the traveler's control and prior approval has been obtained from ABTC Staff, all airline travel should be made no more than 21 days prior to the planned departure unless otherwise noted. ABTC will strive to give notice to the traveler 50 days prior to the planned departure date, if possible. In situations where there are less than 50 days' notice, travelers should strive to make reservations within 7 days of notification.
- f. The travel agent is instructed to select the carrier offering the best airfare and route available. You may request a preferred airline; however, the travel agent will select the most cost-effective route and airline carrier. If you select another airline carrier you prefer and it is higher than the one identified by the travel agent, the traveler must be the difference in the higher fee.

## **Section 10.3**

### **Ground Transportation and Parking**

- a. Actual expenses incurred for the use of ground transportation will be reimbursed provided receipts are submitted. This includes expenses for train, bus, shuttle, taxi, ferry boat, and personal automobile that are directly related to ABTC approved travel.
- b. Parking will be reimbursed from the traveler's airport of origin if a personal automobile is used. Parking at the meeting will be reimbursed if travel by automobile is required. Charges for a rental car are not routinely covered by ABTC.



c. Efforts should be made to share taxis and other means of airport transportation when able. ABTC does not generally approve rental cars or private car/limousines for hire for commission business.

#### **Section 10.4** **Hotel Reservations**

Hotel accommodations will be made by the ABTC Staff at the selected hotel at the single room rate for the days of the meetings, including the night before and after if flight schedules make it necessary. Extra room nights require preapproval by the ED in consultation with Crystal Travel.

#### **Section 10.5** **Meals**

a. Actual incurred meal expenses up to a maximum of \$75 per day are allowed for meals when meals are not provided by ABTC. All expenses must be reasonable and receipts must be furnished for any reimbursable expenses. Reimbursement will not be provided for any meal that is also being provided by ABTC unless approved in advance by the ABTC Executive Staff. Meals are not covered after meeting adjournment, on travel days following a meeting, but will be allowed on a pro-rated basis on travel days prior to a meeting. Exceptions to the above policy must be approved in advance by ABTC Executive Staff.

#### **Section 10.6** **Requests for Reimbursement**

a. All requests for reimbursement should be submitted on ABTC Travel Expense Voucher Form. Receipts for all reimbursable expenses must accompany the Expenses Report. Please maintain a copy for your own records.

b. All requests for reimbursement of travel expenses forwarded to ABTC Executive Staff for approval and payment within 30 days of the completion of travel.

c. Reimbursement will be disbursed by check mailed via US regular mail approximately 30 days after the approved expense report is submitted ABTC. ABTC processes payments every two weeks, so depending on when we receive your request, the time could be slightly shorter or longer.

## **POLICY 11**

## **RECERTIFICATION**

The recertification program facilitates continuing competence in the certificant's specialty over the course of a practitioner's certification period. Through continuing competence, the practitioner integrates and applies the knowledge, skills, and judgment to practice safely, effectively, and ethically in a designated role, serving a specific patient population.

Each ABTC certification (CCTC, CPTC, CCTN, and CTP) is valid for three years. There are two ways to recertify:

1. A certificant may retake the certification examination – a passing grade will result in recertification.
2. A certificant may attend continuing education courses to earn Continuing Education Points for Transplant Certification (CEPTCs)

### **Requirements for Recertification through Continuing Education**

- 60 CEPTCs in a three-year cycle are required.
- 90 CEPTCs in a three-year cycle are required for dually certified practitioners

Final approval of all CEPTCs will be at the discretion of the Continuing Certification Committee of ABTC.

### **Section 11.1**

### **Terms**

#### **Appropriate Continuing Education**

Educational offerings designed to enhance learning and develop knowledge and skills consistent with the current clinical transplant and recovery standards of practice.

#### **Continuing Education Points for Transplant Certification (CEPTCs):**

- One contact hour = one CEPTC
- One CEPTC = 60 minutes of conference/class/lecture time (educational contact hour)

#### **Category 1:**

- Programs offered by hospitals, professional associations, or independent education groups, i.e. AATB, AOPO, ATCO, ISOP, NATCO, ITNS and UNOS that:
  - have direct application to the transplant recipient and/or the family or the donor and/or the family.
  - address skills utilized by the clinical transplant/recovery coordinator, transplant preservationist or clinical transplant Registered Nurse.
  - have impact on clinical transplant/procurement assessment data.

#### **Category 2**

- Continuing education activities planned to meet the individual's potential for professional growth in a broad area of healthcare.

#### **Single Certification:**

- Certification either as a CCTC, CPTC, CCTN or CTP.

**Multiple ABTC Certifications:**

- Holding 2 or more certifications: CCTC, CPTC, CCTN and/or CTP.

<b>Category 1</b> <ul style="list-style-type: none"> <li>• A minimum of 20 ABTC-approved CEPTCs for single certification and multiple certifications.</li> <li>• CEPTCs earned in one cycle cannot be transferred to a subsequent cycle.</li> </ul>		
Eligible Activities	CEPTCs Earned	Forms of Verification
<ul style="list-style-type: none"> <li>• <b>Attendance at ABTC-approved programs</b></li> </ul>	<ul style="list-style-type: none"> <li>• 1 CEPTC per contact hour</li> </ul>	<ul style="list-style-type: none"> <li>• Photocopy of certificate of attendance for <b>ABTC-approved activities</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Completion of journal readings in</b> <ul style="list-style-type: none"> <li>○ Progress in Transplantation</li> <li>○ American Journal of Nursing</li> <li>○ American Journal of Transplant Medicine</li> <li>○ American Society of Transplantation</li> <li>○ The Organ Donation and Transplantation Alliance</li> <li>○ The Nephrology Nursing Journal</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• 1 – 2 CEPTCs as awarded by the journal</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate from Journal generated online</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Participation in exam-related activities:</b> practice analysis, test specification, or standard-setting studies for ABTC examinations.</li> </ul>	<ul style="list-style-type: none"> <li>• 5 CEPTCs</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate signed by the ABTC committee chair</li> </ul>
<ul style="list-style-type: none"> <li>• <b>ABTC Exam Item Writing</b></li> </ul>	<ul style="list-style-type: none"> <li>• 5 CEPTCs for each approved item</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate issued by ABTC with verification from exam vendor</li> </ul>
<b>Category 2</b> <ul style="list-style-type: none"> <li>• A minimum of 10 CEPTCs</li> <li>• CEPTCs earned in one cycle cannot be transferred to a subsequent cycle.</li> </ul>		
Eligible Activities	CEPTCs Earned	Forms of Verification
<ul style="list-style-type: none"> <li>• <b>ABTC Committee Membership</b></li> <li>• <b>ABTC Committee Chair</b></li> <li>• <b>Leadership in Transplant/Recovery or Professional Health Care-Related Non-ABTC Organizations</b></li> </ul>	<ul style="list-style-type: none"> <li>• 15 CEPTCs per year for Officer or Committee Chair</li> <li>• 10 CEPTC per year for board members who are not Officers or Committee Chairs</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate signed by Committee Chair</li> <li>• Certificate signed by the President</li> </ul>

	<ul style="list-style-type: none"> <li>• 10 CEPTCs per certification cycle for Committee Membership</li> </ul>	
<ul style="list-style-type: none"> <li>• <b>Academic Coursework: <i>Acceptable courses include but are not limited to</i></b> psychology, sociology, philosophy, social or cultural anthropology, research, education, chemistry, biology, human anatomy and physiology, health care management, business, and marketing. Course content need not include clinical transplant/recovery concepts. <b><i>Non-acceptable courses may include but are not limited to:</i></b> history, math, art, music, English and other languages (unless the language courses are being studied to effectively communicate with the Organ Procurement Organization/Transplant Center minority populations).</li> </ul>	<ul style="list-style-type: none"> <li>• 1 CEPTC will be awarded for each course credit hour for college/university coursework.</li> </ul>	<ul style="list-style-type: none"> <li>• Photocopy of <i>official</i> transcript or final grade report</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Providing Instruction</b> – delivering: transplantation/ recovery/management content to health care professionals or the public. Examples of presentations include: (1) seminars, in-services, clinical conferences, teaching a patient and/or family educational group/program, (2) facilitating of a hospital-based transplant patient and/or family support group program, (3) volunteering at a community event educating the public on transplant-related issues and patient/family educational programs. The participation may be as a primary instructor, member of a team, guest lecturer or panel participant.</li> </ul>	<ul style="list-style-type: none"> <li>• 10 CEPTCs per presentation of material at an organized conference with up to two repeats of the same presentation awarded 5 CEPTCs each.</li> <li>• 5 CEPTCs per presentation per contact hour at a Hospital/Unit/Patient Education offering with up to two repeats of the same presentation awarded 2 CEPTCs per contact hour.</li> <li>• 1 CEPTC for each additional author of abstracts or case studies.</li> </ul>	<ul style="list-style-type: none"> <li>• Written statement from supervisor, along with information on CEUs awarded, behavioral objectives, content outline, teaching methodology.</li> </ul>

<ul style="list-style-type: none"> <li>• <b>Activities that serve to define, assist, or promote systematic improvement of clinical transplant/recovery practice.</b> Activities that assist in maintaining or improving the safety, accuracy, or efficacy of clinical transplant/recovery practice. Examples include: (1) leadership positions or committee involvement in organ/tissue transplant/recovery-related professional organizations, professional nursing or healthcare-related organizations. (2) quality assurance activities, development of donor manuals, donor maintenance care plans, recipient care plans for critical care emergency room or operating room nurses, recipient educational booklets/brochures, or other teaching materials, development of training courses for clinical/recovery professionals, (3) serving as a program committee chairperson for a transplant/recovery related seminar, (4) development of professional/public education booklets/brochures.</li> </ul>	<ul style="list-style-type: none"> <li>• 5 CEPTCs per certification cycle</li> </ul>	<ul style="list-style-type: none"> <li>• Letter of verification on institutional letterhead confirmed by direct supervisor, committee chairperson, officer of organization of project.</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Authorship*</b></li> </ul>	<ul style="list-style-type: none"> <li>• 40 CEPTCs for published book</li> <li>• 20 CEPTCs for published book chapter, monograph or video content</li> <li>• 15 CEPTCS for primary author for article published in scientific journal</li> <li>• 7 CEPTCS for all secondary authors for article published in scientific journal</li> <li>• 5 CEPTCs for primary author of published case study</li> <li>• 1 CEPTCs for all secondary authors of published case study</li> <li>• 1 CEPTC for primary and secondary authors for abstracts and case studies</li> </ul>	<ul style="list-style-type: none"> <li>• Copy of publication or title page and table of contents.</li> </ul>

	are submitted but not accepted	
<ul style="list-style-type: none"> <li>• <b>Editorial Review Activity</b></li> </ul>	<ul style="list-style-type: none"> <li>• 12CEPTCs for editing of book</li> <li>• 10 CEPTCs for editing of book chapter</li> <li>• 5CEPTCs for article review</li> </ul>	
<ul style="list-style-type: none"> <li>• <b>Poster Presentations</b></li> </ul>	<ul style="list-style-type: none"> <li>• 15 CEPTCS for primary author</li> <li>• 7 CEPTCs for all secondary authors</li> <li>• 1 CEPTC for primary and secondary authors of abstracts for poster presentations submitted but not accepted</li> </ul>	<ul style="list-style-type: none"> <li>• Copy of publication</li> <li>• Letter of verification on institutional letterhead</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Preceptorship/Mentorship</b> of new staff member or nursing student in clinical/recovery area during official orientation period.</li> </ul>	<ul style="list-style-type: none"> <li>• 15 CEPTCs for first Preceptorship/Mentorship 5 CEPTCs for each subsequent Preceptorship/Mentorship for a maximum of three (3) Preceptorships/Mentorships per 3year recertification cycle.</li> </ul>	<ul style="list-style-type: none"> <li>• Letter of verification on institutional letterhead confirmed by direct supervisor.</li> <li>• Preceptor Verification Form (<a href="https://abtc.net/certified-professionals/recertification">https://abtc.net/certified-professionals/recertification</a>)</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Leadership/Business/Management Training</b></li> </ul>	<ul style="list-style-type: none"> <li>• 1 CEPTC for each contact hour</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate of completion</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Stress Management/Burnout Training</b></li> </ul>	<ul style="list-style-type: none"> <li>• 1 CEPTC for each contact hour</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate of completion.</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Occupational and Development Training</b></li> </ul>	<ul style="list-style-type: none"> <li>• 1 CEPTC per contact hour</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate of completion &amp; Content Outline</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Certifications:</b> <ul style="list-style-type: none"> <li>○ Advanced Cardiovascular Life Support (ACLS) Certification</li> <li>○ Advanced Trauma Life Support (ATLS)</li> <li>○ Pediatric Advanced Life Support (PALS)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• 8 CEPTCs for certification</li> <li>• 4 CEPTCs for recertification</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate of completion</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Certificaton:</b> <ul style="list-style-type: none"> <li>○ Basic Life Support with CPR (BLS-C)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• 4 CEPTCs for certification</li> <li>• 2 CEPTCS for recertification</li> </ul>	<ul style="list-style-type: none"> <li>• Certificate of completion.</li> </ul>

\*Co-authored/co-developed publications/projects, unless otherwise stated, the number of CEPTCs awarded are divided by the number of authors/developers.

Recertification is tracked on the ABTC's certification platform. Practitioners access their account through a secure login. Recertification applications will be reviewed weekly based on credential expiration date. A 10% random audit will be conducted on all recertification applications. If any applications are incomplete, ABTC staff will notify the certificant of a 30-day deadline to complete the application. The designated Executive Office staff will review each resubmitted application for qualifications for recertification

Acceptable Verification for Recertification for Audited Applications:

- For ABTC-approved programs, only a photocopy of the certificate of attendance is required for documentation.
- If the program is not an ABTC approved offering it will not count toward the 20 Category 1 CEPTCs that are required. However, if you have achieved the 20 required Category 1 CEPTCs you may submit 3 other transplant/recovery related programs by submitting all of the following documentation: A program brochure from the conference may be submitted as long as it contains the appropriate information: (1) program behavioral objectives, (2) content outline, (3) teaching methodology, (4) Certificate of Attendance.

## **POLICY 12**

## **INVESTMENT POLICY STATEMENT**

### **Section 12.1**

#### **Introduction**

This statement of investment policy has been adopted by the Board of Governors of the American Board for Transplant Certification ("ABTC") to provide guidelines for the investment of funds held by the organization.

For the purposes of managing investment risk and to optimize investment returns within acceptable risk parameters, the funds held will be divided into two separate investment pools. The process for determining the dollar amount in each pool is set forth in the "Procedures" section of this section. The two investment pools shall be called the "Operating Fund and the "Long-Term Fund."

### **Section 12.2**

#### **Assignment of Responsibility**

##### Responsibility of the Finance Committee on behalf of the Board of Governors

The BOD is charged in the bylaws with ensuring and overseeing the financial health and security of ABTC. While recognizing that the full board has ultimate responsibility to provide sound fiscal oversight, the BOD has tasked the Finance Committee to provide expertise and assistance to the board as it carries out their financial duties. The Finance Committee, which shall discharge the following duties of management of investment assets:

1. Reviewing the financial needs of ABTC and communicating such needs to the Investment Consultant on a timely basis;
2. Determining the risk tolerance and investment time horizon that align with ABTC's core values and communicating these to the appropriate parties;
3. Establishing reasonable and consistent investment objectives, policies and guidelines that will direct the investment of the assets;
4. Prudently and diligently selecting qualified investment professionals, including any Investment Manager(s), Investment Consultant(s), and Custodian(s);
5. Quarterly evaluation of the performance of the Investment Managers to assure adherence to policy guidelines and monitor investment objective progress;
6. Developing and enacting proper controls and procedures.

##### Responsibility of the Investment Consultant

The role of the Investment Consultant is that of a non-discretionary advisor to the Finance Committee. Investment advice concerning the investment management of the assets will be offered by the

Investment Consultant and will be consistent with the investment objectives, policies, guidelines and constraints as established in this IPS. Specific responsibilities of the Investment Consultant include:

1. Assisting in the development and periodic review of the Investment Policy Statement (IPS);
2. Conducting Investment Manager searches;
3. Providing “due diligence” on the Investment Managers;
4. Providing recommendations to hire and/or terminate any Investment Manager(s);
5. Acting on behalf of, and at the direction of, the Finance Committee in connection with the hiring or termination of Investment Managers or the selection of mutual funds;
  
6. Monitoring the performance of the Investment Managers to provide the Finance Committee with the ability to determine their progress toward the investment objectives;



7. Communicating matters of policy, manager research, and manager performance to the Finance Committee;
8. Reviewing investment history, historical capital markets performance and the contents of this IPS to any newly appointed members of the Finance Committee; and
9. Monitoring the asset allocation of the Long-Term Fund and providing the Finance Committee with recommendations for changing asset allocation within the guidelines set forth in this IPS.

#### Responsibilities of the Investment Managers

Each Investment Manager will have full discretion to make all investment decisions for the assets placed under its jurisdiction while observing and operating within all policies, guidelines, and constraints, as outlined in this IPS. Specific responsibilities of the Investment Managers include:

1. Discretionary investment management, including decisions to buy, sell, or hold individual securities, and to alter asset allocation within guidelines established in this IPS and approved by the Finance Committee;
2. Communicating any major changes to economic outlook, investment strategy, or any other factors that affect implementation of the investment process;
3. Informing the Investment Consultant of any material change to the investment management organization. ExPSiles include material changes in portfolio management personnel, ownership structure, investment philosophy, etc.; and
4. Voting proxies on behalf of the ABTC, and, when requested, communicating information concerning such voting to the Finance Committee on a timely basis.

#### Responsibilities of the Custodian

The Custodian will physically (or through agreement with a sub-custodian) maintain possession of securities owned by the ABTC, collect dividend and interest payments, redeem maturing securities, and effect receipt and delivery following purchases and sales. The Custodian will also perform regular accounting of all assets owned, purchased or sold, as well as movement of assets within fund accounts.

### **Section 12.3**

#### **Procedures**

1. The following procedures will be followed to ensure the investment policy statement is consistent with the current mission of ABTC and accurately reflects the current financial condition:
  - a. This investment policy shall be reviewed annually by the Finance Committee for any necessary revisions.
  - b. Recommendations for any revisions or modifications will be made by the Finance Committee to the Board of Governors for approval.
2. The following procedures will be used to determine the dollar amounts to be placed in the Long-Term Fund. Dollars not specifically designated for the Long-Term Funds will be restricted to investments designated in the "Investment Guidelines" for the Operating Fund.
  - a. The Finance Committee will recommend the dollar amounts to be placed in the Long-Term Funds.
  - b. The Board of Governors will have final approval of the dollar amounts placed in specific funds.
3. The services of an Investment Consultant will be sought to manage portions of ABTC funds. The following procedure shall be followed to engage a new or replace a current Investment Consultant.
  - a. The Executive Staff will recommend the hiring or replacing of an investment consultant to the Finance Committee.
  - b. The Finance Committee will review the candidate(s) and make a recommendation to the Board of Governors, who shall have final approval.

4. It is anticipated that from time to time the services of an Investment Manager(s) may be sought to manage portions of the ABTC's funds. The engagement or termination of an Investment Manager will be authorized by the Finance Committee, acting with the advice of the Investment Consultant. The same procedure shall apply for both individually managed accounts, exchange-traded funds and mutual funds (with the exception of money market mutual funds).

#### ABTC Operating Fund Purpose

The purpose of the Operating Fund is to provide sufficient cash to meet the financial obligations of the ABTC in a timely manner.

#### Investment Objectives

The investment objectives of the Operating Fund are:

1. Providing liquidity;
2. Preserving capital; and
3. Optimizing investment return within the constraints of this IPS.

#### Investment Guidelines

##### Allowable Investments

The Executive Staff shall be authorized to invest the ABTC Operating Fund as follows:

1. Checking accounts in U.S. federally insured banks and savings and loans not to exceed federally insured amounts;
2. Money market funds that invest in U.S. Government backed securities;
3. Federally insured certificates of deposit not to exceed the insurable limit per institution;
4. Direct obligations of the U.S. Government, its agencies and instrumentalities;
5. Repurchase agreements in conjunction with bank sweep accounts collateralized by U.S. Government obligations;
6. Commercial paper rated A-1/P1 by Standard & Poor's and Moody's and
7. Corporate notes with a minimum rating of investment grade by one rating service.

#### Maturity

The maturities on investments for the Operating Fund shall be limited to three years or less. The Finance Committee, with assistance from the Executive Staff, will be responsible for scheduling maturities.

#### ABTC Long-Term Fund

##### Purpose

The purpose of the ABTC Long-Term Fund is to enhance the purchasing power of funds held for future expenditure, to maintain the financial stability of the association, and to provide cash to be used during the current budget cycle.

### Investment Objectives

The objectives of the portfolio represent a long-term goal of maximizing returns without exposure to undue risk, as defined herein. It is understood that fluctuating rates of return are characteristic of the securities markets. The primary concern should be long-term appreciation of the assets and consistency of total return on the portfolio. Recognizing that short-term market fluctuations may cause variations in the account performance, the portfolio is expected to achieve the following objectives over a five-year moving time period:

1. The Long-term Fund's total return is expected to exceed the Consumer Price Index by 4%. On a quarter to quarter basis, the actual returns will fluctuate and can be expected to exceed the target about half the time.
2. The Long-term Fund's total return is expected to exceed the 90-Day Treasury Bill Index by 3%. On a quarter to quarter basis, the actual returns will fluctuate and can be expected to exceed the target about half the time.

Understanding that a long-term positive correlation exists between performance volatility (risk) and statistical returns in the securities markets, we have established the following short-term objective:

The portfolio should be invested to minimize the probability of low negative total returns, defined as a one-year return worse than 10%. It is anticipated that a loss greater than this will occur no more than one out of twenty years.

The investment policies and restrictions presented in this statement serve as a framework to achieve the investment objectives at the level of risk deemed acceptable. These policies and restrictions are designed to minimize interference with efforts to attain overall objectives, and to minimize the probability of excluding appropriate investment opportunities.

### Prohibited Investments

The following investments and investment activities are prohibited:

1. Private placements
2. Letter stock
3. Derivatives. However, to the extent that mutual funds are used by ABTC the mutual funds may buy or sell derivatives for the purposes of managing portfolio risk
4. Direct ownership of commodities or commodity contracts
5. Short sales
6. Margin transactions

### Diversification

Investment of the Long-Term Fund shall be so diversified so that the portfolio will, on average, yield higher returns and pose a lower risk than any individual investment found within the portfolio, unless under the circumstances it is clearly prudent not to do so.

### Long-Term Fund Target Asset Mix

The long-term component of the Reserve Fund shall be comprised of the asset classes listed in the table below. The target weight is the desired weight for each asset class. The minimum weights and maximum weights are to allow for normal market fluctuations and to allow for temporary over/under weight allocations that are believed to be desirable by either the Finance Committee or the Investment Consultant.

The Finance Committee will monitor the asset allocation of the Long-Term Fund based on quarterly reports provided by the Investment Consultant. It is the responsibility of the Investment Consultant to monitor the fund on an ongoing basis and to make recommendations for portfolio rebalancing to ensure that the funds remain within Investment Policy guidelines.

<b>ASSET CLASS</b>	<b>MINIMUM WEIGHT (%)</b>	<b>TARGET WEIGHT (%)</b>	<b>MAXIMUM WEIGHT (%)</b>
<b>EQUITY</b>			
U.S. Large Capitalization Stocks	13	19	25
U.S. Mid-Capitalization Stocks	3	5	7
U.S. Small Capitalization Stocks	3	5	7
International Stocks	8	11	14
Emerging Markets	1	2	5
<b>TOTAL EQUITY</b>	<b>28</b>	<b>42</b>	<b>58</b>
<b>FIXED INCOME</b>			
U.S. Government/Corporate	22	32	42
High Yield Bonds	2	4	6
International Bonds	6	9	12
<b>TOTAL FIXED INCOME</b>	<b>30</b>	<b>45</b>	<b>60</b>
<b>ALTERNATIVES</b>	9	13	17

#### Equities

The equity asset classes should be maintained at risk levels roughly equivalent to the sectors of the market represented, with the objective of exceeding a nationally recognized index measuring the performance of the designated sector over a five-year moving time period net of fees and commissions. Mutual funds conforming to the policy guidelines may be used to implement the investment program.

The following definitions shall apply for the purposes of this policy:

U.S. Large Capitalization Stocks: A portfolio of stocks composed primarily of US-based companies having a market capitalization, on average, exceeding \$10.0 billion and whose primary shares trade on a major US exchange. (Market Capitalization = Market Price × Number of Shares Outstanding) The generally accepted, nationally recognized index for this asset class is the Standard & Poor's 500 Stock Index (S&P

500)

U.S. Mid-Capitalization Stocks: A portfolio of stocks composed primarily of US-based companies having a market capitalization, on average, between \$2.0 billion and \$10 billion and whose primary shares trade on a major US exchange. The generally accepted, nationally recognized index for this asset class is the Russell Midcap Index.

U.S. Small Capitalization Stocks: A portfolio of stocks composed primarily of US-based companies having a market capitalization, on average, of less than \$2.0 billion. The generally accepted, nationally recognized index for this asset class is the Russell 2000 Index.

International Stocks: A portfolio comprised primarily of stocks of non-U.S. based companies, the primary shares of which are traded on exchanges outside the U.S. American Depositary Receipts are considered International Stocks. The generally accepted, nationally recognized index for this asset class is the Morgan Stanley Capital International Europe-Australasia-Far East Index (EAFE).

Emerging Markets: A portfolio of stocks comprised primarily of companies in the global emerging markets of Europe, Asia, Africa and Latin America. The generally accepted, nationally, recognized index for this asset class is the MSCI Emerging Markets Index (MSCI Em).

#### Fixed Income

Investments in fixed-income securities will be managed actively to pursue opportunities presented by changes in interest rates, credit ratings, and maturity premiums. Mutual funds conforming to the policy guidelines may be used to implement the investment program. The following definitions shall apply for the purposes of this policy:

U.S. Government/Corporate Intermediate Bonds: A portfolio consisting primarily of fixed-income securities denominated in U.S. dollars issued by the U.S. Government or U.S. corporations having a weighted average maturity of less than 10 years. The generally accepted, nationally recognized index for this asset class is the Barclays Capital Government/Corporate Intermediate-term Bond Index

High Yield Corporate Bonds: A portfolio consisting primarily of bonds issued by U.S. corporations and the majority of the bonds are rated below BBB/Baa. The generally accepted, nationally recognized index for this asset class is the Barclays Capital High Yield Index.

International Bonds: A portfolio consisting primarily of fixed-income securities denominated in currencies other than U.S. dollars. Issuers may be both governments and corporations. The generally accepted, nationally recognized index for this asset class is the Citigroup Non-US Dollar World Government Bond Index

#### Alternative Investments

Investment in alternatives may be considered by this organization within the context of an overall investment plan. The objective of such investments will be to seek to diversify the portfolio, complementing traditional equity and fixed-income investments and improving the overall performance consistency of the portfolio. It is acknowledged that there is no guarantee that this objective will be realized.



- May
- August
- November

Ad hoc meetings may be scheduled at any time to address any concerns.

**POLICY 17      JOB TASK ANALYSIS (JTA)/TEST SPECIFICATIONS MEETINGS/STANDARD SETTING**

Per best practice guidelines, A Job Task Analysis (JTA) and Test Specification Workshops will be conducted at a minimum of every five years. A Standard Setting Workshop will follow the Job Task Analysis for the first exam following the JTA for which the newly derived test specifications are utilized and items are written.

*Each panel of Subject Matter Experts (SMEs), to the extent reasonably possible, will represent the diversity of the certificant population and/or scope of the certification. The following target goals are established to guide the selection of each SME panel; however, it is not required that every goal is met in every panel so long as overall diversity and a balanced representation of perspectives are achieved. An SME may represent multiple demographic and professional characteristics. A separate group of eight to twelve participants will be required for each of the specific panels, JTA, Test Specifications, and Standard-Setting Workshops. The group will be chosen based on criteria to capture a panel that considers/addresses the following factors. Factors include but are not limited to, geographic area, demographics, organ specialty, and years certified. Participants will be selected in the following manner:*

**Email invitation to the appropriate active certificant population requesting:**

<b>Candidate Information</b>	<b>ABTC Criteria</b>
<b>Name</b>	
<b>Place of Employment</b>	
<b>City &amp; State</b>	<b>ABTC will seek to have at least one member from each region of the United States</b>
<b>Type of facility at which the practitioner is employed</b>	



<b>Age</b>	<b>ABTC strives to have at least one member who will be 35 years or younger and one who will be over 55 years.</b>
<b>Gender</b>	<b>ABTC seeks to have approximately 5% of members who identify as male</b>
<b>Race/Ethnicity (Prefer not to answer)</b>	<b>ABTC seeks to have 5% of members identify as other than white/Caucasian</b>
<b>Job Title</b>	<b>ABTC aims to have approximately 5% that will have a position other than RN</b>
<b>Number of years worked as a CCTC, CCTN, CPTC, CTP or CTFC</b>	<b>Approximately 5% will be new practitioners &lt; 3 years no more than 70% will be tenured over 20 years</b>
<b>Organ Specialty</b>	<b>ABTC aims to have at least one member represented for each organ</b>
<b>Credential (s)</b>	
<b>Travel transplant professional</b>	<b>ABTC looks to have at least one member employed as a travel transplant professional</b>

**Provide the following incentives:**

- Five (5) Category 2 CEPTCs
- A letter of participation to provide to employers
- A food ordering & delivery service gift certificate to be used in conjunction with the workshop.

**Staff responsibilities:**

- Record the list of responding volunteers.
- Seek a demographically diverse group of 12 to 15 participants (as detailed above) participant volunteers.
- Create a “blinded” list without names and provide to the exam committee chair for selection.
- Secure a Non-disclosure agreement from all participants.
- Deliver the list of participants to the vendor, once the workshop volunteers have been selected.
- Forward a confirmation email regarding participation to the volunteer group selected.

- Circulate an email reminder a week prior to the scheduled workshop group.
- Send the gift certificates on the day of the meeting to confirmed participants.
- Request participants' supervisors' names and emails.
- Email the CEPTC certificates and letter to the employer following meeting participation.
- Suggest to the exam committee chair volunteers that should be considered for the committee.
- Review the JTA/Test Specifications/Standard Setting draft report provided by the vendor for any errors and inconsistencies before providing to the ABTC Board for a vote.

**Vendor responsibilities:**

- Send a calendar invite with the call-in credentials to the workshop volunteers and staff.
- Provide a final report to the ABTC for a vote on the JTA/Test Specifications/Standard-Setting.

**POLICY 18 ACCESS TO CONFIDENTIAL INFORMATION**

Access to confidential information will be limited to those individuals who require access in order to perform necessary work related to the certification program during the time frame for which access is required. Access will be granted in compliance with the provisions of the security policy individuals who may require access include.

- Executive Director and appointed staff (access to all confidential information)
- Board Members (access to exam development information, candidate and certificant information) only in the case of an appeal or granted permission by the certificant.
- Exam Committee members will be provided access only to information necessary to complete assignments for the time period in which they actively serve on the committee.

**POLICY 19 RETESTING POLICY**

An unsuccessful candidate may retake the exam 90 days after the first exam attempt. Retest candidates may not test more than once on any one form. A subsequent retest must be on an alternate exam form. A retake link to the Certification Management System (CMS) platform is available on the ABTC website for retake applications. An application must be completed and fees submitted before the retake can be approved.

All exam candidates will be subject to a three-attempt rule. After a failed exam, applicants can sit for two successive exams. A candidate who has failed the exam on the third attempt will be required to complete 20 Category 1 CEPTCs before reapplication. *A "no show" or withdrawal for any exam administration will not be counted as an attempt.*

**POLICY 20 EXAM VENDOR OVERSIGHT**

ABTC uses exam vendor proctors to administer the exam. Exam vendor proctors are provided training manuals detailing their roles and responsibilities for the test center. The requirements for each administration of an exam are detailed in the operations manual.

Test Center Administrators (TCAs) are expected to comply with the exam vendor Code of Conduct. TCAs must execute agreements detailing the standards of conduct and expectations while serving in their role in the test center.

Any irregularities that occur during the exam administration are noted and reported to ABTC by filing an incident report. ABTC reviews these incidents and will initiate an investigation with testing vendors to determine if the irregularity affected candidate performance. ABTC may request review of all related video from registration, test and locker areas. Additionally, ABTC monitors its testing vendor through candidate reports of irregularities.

#### **POLICY 21** **NON-DISCRIMINATION**

All candidates have the right to expect all aspects of the certification process to be fair and free from discrimination. Reasonable efforts are made to ensure examinations are job-related; no candidate is excluded from the examination as a result of age, sex, race, religion, national origin, ethnicity, disability, marital status, sexual orientation, and gender identity; language that may be offensive to population subgroups is eliminated; with vigilance to avoid bias and stereotyping.

#### **POLICY 22** **EMAIL RETENTION**

All management company current and former employees' email and cloud-based accounts will be **retained for 1 year and then deleted** according to the retention procedures below.

For former employees, starting from the termination/resignation date and through the 12-month anniversary of said date, the employee's email-related data including but not exclusive to email drive files and calendars, will continue to be available online either via mail delegation or via calendar or document sharing.

During these 12 months, all employees who have been granted mail delegation access and/or password-based access to the former employee's account should endeavor to transfer to themselves all emails and/or Google Drive files that they need from the account.

#### **POLICY 23** **LAPSED STATUS**

As a recognized member of the healthcare field, it is the sole responsibility of each ABTC-certified professional to renew each individual credential every three years, to adhere to the ABTC Ethical Standards, maintain the appropriate number of Continuing Education Points for Transplant Certification

(CEPTCs) each cycle in the ABTC recertification platform and make necessary updates to personal contact information.

Every 3 years, a certificant must demonstrate proof of continuing knowledge and skills by documenting a minimum of 60 CEPTCs (90 for dually certified practitioners). A practitioner who is not compliant with continuing education credit and submission of the renewal fee by the end of the three-year recertification cycle will be considered to have lapsed. Certificants whose credential lapses will be considered for reinstatement based on the following criteria:

Period of Lapse	Fee
Up to 60 days	Certification Renewal Fee + late fee (\$50)
61 to 90 days	Certification Renewal Fee + late fee (\$50) + reinstatement fee (\$250)
91 days +	Re-certify by exam

\*Any additional CEPTCs submitted during the payment lapsed period will not count toward the recertification cycle minimum.