

# **MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS**

## **MANUAL OF PROCEDURES**

*Updated March 2009*

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## **Introduction**

The following Manual of Procedures is a guide to the administrative policies and procedures as outlined in the MASO Bylaws. This Manual provides operating procedures to assure consistency in conducting MASO business. It reflects the organizational structure of MASO and the duties and functions of the Officers, Directors, Delegates and Alternate Delegates, Council Representatives, Committees and Executive Director/Secretary.

This Manual of Procedures is subject to continual evolution and revision as the needs and requirements of the Society change over time. Revisions of the Manual can occur through two mechanisms: changes in the MASO Bylaws which have been approved by the general membership, or administrative changes which have been approved by the Executive Board as permitted by the Bylaws.

It is imperative that all members of the Society adhere to the Manual of Procedures, in accordance with the Bylaws of MASO, to assure consistency in the administration of the organization, the free exchange of ideas, and the easy transition of responsibility and activity over time.

## **Mission Statement**

The Middle Atlantic Society of Orthodontists shall promote the ethical delivery of quality orthodontic care by providing its members with educational opportunities and information regarding advances in orthodontic treatment and technology. In addition, the Society shall be an advocate for, and a representative of, all constituent members of the American Association of Orthodontists for the purpose of making regional decisions regarding policy, budget, member services, public information and communication.

## **GOVERNING BODY, OFFICERS, STAFF, AND COMMITTEES**

### **EXECUTIVE BOARD:**

The governing body of MASO is the Executive Board. The Executive Board consists of the following members:

#### Officers:

- President
- President-Elect
- Secretary
- Treasurer

#### Directors (currently six)

#### Constituent Editor

#### Ex-officio members without the privilege to vote:

- MASO Immediate Past-President
- MASO Trustee to the AAO

**EXECUTIVE COMMITTEE:**

During the interim between meetings, the following may act on behalf of the Board: President, President-elect, Secretary, Treasurer, and the two most senior Directors.

**OTHER ELECTED OR APPOINTED POSITIONS:**

- Delegates and Alternate Delegates to the AAO
- Representatives to AAO Councils
- Director to the American Board of Orthodontics
- Historian

**EXECUTIVE DIRECTOR/SECRETARY:**

Employed under contract by the Executive Board.

**COMMITTEES:**

- Annual Session
- Annual Session Site Selection
- Budget
- Bylaws
- Communications/Publications
- Education and Research (Kress Award)
- Government Affairs
- Member Services (Includes Membership, Ethics, and Practice Transition)
- Nominating (Devlin Award)

**TERMS OF OFFICE AND ELECTION PROCESS:**

**OFFICERS:**

The President and President-elect are elected annually for a term of one year by the general membership.

The Secretary and Treasurer are elected bi-annually for a term of two years by the general membership. Both are limited to three (3) consecutive two (2) year terms.

**DIRECTORS:**

Three Directors are elected annually for a term of two years by the general membership.

**CONSTITUENT EDITOR/HISTORIAN:**

Elected for a term of three years by the Executive Board.

**MASO TRUSTEE TO THE AAO:**

Elected for a term of two years by the general membership. An AAO Trustee may serve a maximum of four terms (8 years). At the completion of four terms, he/she is eligible for election to the office of Secretary-Treasurer of the AAO by the AAO House of Delegates.

**MASO DELEGATES AND ALTERNATES TO THE AAO:**

Delegates are elected annually for a term of two years by the general membership. Alternate delegates are elected annually for a term of one year by the general membership.

**MASO REPRESENTATIVES TO AAO COUNCILS:**

Council representatives are elected for a term of two years. An ad hoc committee appointed by the MASO President nominates a candidate. After approval by the Executive Board, the MASO AAO Trustee forwards the name of the candidate to the AAO Board of Trustees for final approval. Those elected may serve a maximum of four consecutive terms.

**MASO REPRESENTATIVE TO THE AMERICAN BOARD OF ORTHODONTICS:**

Elected for a term of eight years. An ad hoc committee appointed by the Executive Board will nominate 3-5 candidates. After approval by the Executive Board, the list of candidates is forwarded to the Secretary of the ABO for final selection of an individual.

**EXECUTIVE DIRECTOR/SECRETARY:**

Retained on an at-will basis under a contract renewed every two years by the Executive Board.

**MEMBERS OF MASO STANDING COMMITTEES:**

For most committees, members are elected annually for a three-year term by the Executive Board. A member will usually be asked to serve as Chair of the committee during the final year of service.

**MASO REPRESENTATIVE TO THE AAO PAC:**

Elected for a term of two years. The individual may not serve more than four consecutive terms.

**EXECUTIVE BOARD:**

The Executive Board is empowered by the Bylaws to:

- Conduct all business of the society, subject to the Articles of Incorporation, AAO and MASO Bylaws, and the mandate of the membership.
- Establish interim policies between the annual business sessions of MASO and to report back to the membership at or before the next annual session of MASO.
- Establish rules and regulations, consistent with the Bylaws, to govern its organization and procedure.
- Elect an historian for a term of three years.
- Select and approve nominees to the various AAO Councils/Committees:
  1. Council on Communications
  2. Council on Government Affairs
  3. Council on Information Technology
  4. Council on Insurance
  5. Council on Membership, Ethics and Judicial Concerns
  6. Council on Orthodontic Education
  7. Council on Orthodontic Health Care
  8. Council on Orthodontic Practice
  9. Council on Scientific Affairs

10. Distance Learning Task Force
11. New and Younger Member Advisory Committee
12. AAOPAC
13. AAOSI

- Establish the time, place, and length of the annual session and, if necessary, reschedule or cancel an annual session.
- Create and appoint such special committees as may be necessary to expedite the functions of MASO.
- Direct the President to call a special session of MASO.
- Reinstate a suspended member to membership.
- Perform those tasks and assignments designated in the Bylaws or requested from time to time by the membership.
- Review the eligibility of all applicants for all categories of membership. The Board is empowered to act upon applications for retired and non-resident memberships and reinstatements. On all other membership applications the Board shall make recommendations to the general membership of MASO who will vote on their appointment to membership.
- Receive and review the reports and recommendations of committees.
- Act on motions brought by the committees.
- Propose any changes in the annual dues, assessments of the members, or special appropriations of funds from the treasury, and present its recommendations to the general membership of MASO for final action.
- Oversee the specific duties of each MASO Director.
- Retain an Executive Director/Secretary, meeting coordinator, or secretarial help as needed.
- Nominate, at the appropriate time, a Secretary-Treasurer of the AAO.

#### **EXECUTIVE BOARD MEETINGS:**

- The Executive Board shall meet during the Annual Session and three other times throughout the year. The winter and summer meetings may be by conference call and the spring meeting may be designed as a two-day meeting with the first day to include delegates, alternates, component presidents, all committee chairpersons, council representatives and department chairs to prepare for the AAO House of Delegates Meeting.

- One-half of the Executive Board members with voting privileges shall constitute a quorum for the transaction of business.
- Mail, Telephone, E-mail Vote: During the interim between annual sessions of MASO, the executive committee may conduct its business by U.S. mail, telephone conference call, or e-mail.

#### **BOARD REIMBURSEMENT POLICY:**

- The members of the MASO Executive Board will pay for their own lodging and transportation to attend Board meetings, with an adjustment for the members from Puerto Rico.
- The Puerto Rican members will be reimbursed for 50% of coach air fare and, additionally, for one nights lodging.
- Reimbursement expenses allocated for the AAO Delegates and Alternates will be divided equally among those Delegates and Alternates who attend the preparation, caucus, and delegation meetings, including the final session. The amount of each individual's reimbursement may not cover his/her entire expenses

#### **PRESIDENT:**

The President, with the assistance of the President-elect, Secretary, and Treasurer shall oversee the administrative responsibilities of the society, and shall serve as Chairperson of the Executive Board. The president will have first priority on the hours of the Executive Director/Secretary at all times. The President will prioritize the Executive Director/Secretary's duties so as to control society costs.

#### **Prior to installation, the President shall:**

- Study the duties outlined in the MASO Bylaws.
- Counsel with the out-going President for suggestions on procedures and programs and the continuation of any on-going programs.

#### **Upon installation the President shall:**

- Convene and conduct board meetings.
- Serve in ex-officio capacity attending as many committee meetings as possible, especially the Annual Session Committee meetings.
- Conduct all meetings formally, beginning on time, and in accordance with Bylaws, procedures and "***The Standard Code of Parliamentary Procedure***" (***Latest edition***) by ***Alice Sturgis***.

- Maintain a master calendar for presidential responsibilities: e.g., meetings to attend, official actions to be taken, conflicts with religious holidays, etc.
- Bring matters before the membership for action.
- When appropriate, serve as first alternate delegate to the AAO House of Delegates.
- Call special sessions of the society or executive committee as provided for in the Bylaws.
- Appoint one member of the Budget Committee.
- Serve as an official representative of MASO in its contact with governmental, civic, business and professional organizations for the purpose of advancing the objectives and policies of the society.
- Appoint and create special committees, ad-hoc committees or sub-committees.

#### **PRESIDENT-ELECT:**

The President-elect shall serve as a voting member of the Executive Board, and become familiar with and thoroughly understand the President's responsibilities. The President-elect shall be available to help the President.

#### **Prior to installation, the President-elect shall:**

- Study the duties outlined in the MASO Bylaws.
- Counsel with the President for suggestions on procedures and programs.

#### **Upon installation the President-elect shall:**

- Serve as an ad hoc member of the Annual Session Committee.
- Appoint a general chairperson for the annual session of his or her presidency
- Be in charge of the annual review and revision of the Manual of Procedures and the Bylaws.
- Serve as chairperson of the Bylaws committee.
- Be familiar with the parliamentary procedures for conducting meetings and act as Parliamentarian.
- Prepare a suggested list of committees and appointments for the first executive committee meeting of their up-coming presidency.

- Become President-pro tempore for the remaining portion of the President's term of office in the event the office of president becomes vacant for any reason.
- Succeed to the office of President of the Society at its annual session subsequent to election by the membership.

## **SECRETARY:**

### **Prior to installation, the secretary shall:**

- Study the duties outlined in the MASO Bylaws.
- Learn services to be utilized and available from the American Association of Orthodontists.

### **Upon installation, the secretary shall:**

- Secure from the outgoing secretary all documents, files, books, rosters, etc., necessary to conduct this office.
- Forward a report to the "***American Journal of Orthodontics and Dentofacial Orthopedics***" listing the newly elected Officers, Trustees and Council members.
- Serve as a voting member of the executive committee.
- Develop a calendar with the Executive Director/Secretary showing mailing dates and events for which the Secretary is responsible. Resolve date conflicts to avoid problems and delays.
- Answer correspondence promptly as directed by the Board and President.
- Notify all members of the time and place of each annual business session.
- Maintain the annual insurance bond of the Treasurer and the indemnification insurance policy of the officers and board members as provided by the American Association of Orthodontists.
- Serve as a Necrology Committee of one. The Secretary shall draft suitable resolutions upon the death of members who have passed away during the year and present them to the Board and to the Society at its Annual Session. Due notice and suitable resolutions shall be sent to the constituent editor of the American Journal of Orthodontics and Dentofacial Orthopedics, and to the Executive Director/Secretary of the American Association of Orthodontists, upon the death of any member of this society.
- Be aware of the contractual responsibilities of the Executive Director/Secretary.

- Perform such other duties as usually appertain to the office of Secretary, and such duties as may be required by the Board and Bylaws.

**TREASURER:**

The Treasurer's responsibility is the receipt, dispersal and recording of the Society's funds, and the reporting of these actions to the executive committee.

**Immediately upon installation, the Treasurer shall:**

- Study the duties outlined in the MASO Bylaws.
- Secure from the outgoing treasurer all financial records and materials necessary to the conduct of this office; counsel with him or her to learn the responsibilities involved.
- Secure authorizing signatures of the newly elected President and Treasurer for all documents, checks and accounts of the society; and register the required signature cards with a bank or other appropriate financial institution.
- Serve as a voting member of the Executive Committee.

**The Treasurer shall also:**

- Account for the location, and insure the accessibility of, all financial records of the Society, including checks, bank statements, receipts, financial reports and audit results.
- Act as a custodian of all funds and securities belonging to the Society.
- Collect and deposit in a bank account authorized by the Executive Board all receipts and income from whatever sources deemed to be the property of the Middle Atlantic Society of Orthodontists.
- Maintain and keep current such records to delineate all receipts and expenditures in such permanent form that is consistent with the wishes of the Executive Board.
- Insure that all Executive Board members receive written financial reports prior to the date of each Board meeting.
- Secure an audit of the Society's books by a certified public accountant selected by the Board, and present the audit report to the Board at its direction.
- Pay all properly authorized and budgeted expenses within five days, or as soon as practical. When an unbudgeted or unusual expense is presented for payment and it is not possible to hold an executive committee meeting, the Treasurer must obtain approval to pay the expense from the President within fourteen days.
- Serve as a member of the Annual Session Committee, Budget Committee, and Continuing Education Committee.
- Perform such other duties as usually appertain to the office of Treasurer and such duties as may be required by the Board and Bylaws.

## **MASO DIRECTORS:**

The Directors participate in the governance of the association along with the Officers of the Society. This may include, but is not limited to, attending all Executive Board meetings and conference calls, serving on ad-hoc committees, reading and evaluating all committee and council reports, and assisting the officers with the administration of the business of the association.

## **CONSTITUENT EDITOR/HISTORIAN:**

The constituent editor shall serve as an ex-officio member of the Communications/Publications Committee and a member of the Executive Board.

The Editor shall:

- Serve as MASO's representative and the contributing editor to the official publication of the American Association of Orthodontists.
- Send advance notice of the next annual session to the editor of the "***American Journal of Orthodontics and Dentofacial Orthopedics***" in time to appear in the issue preceding the conference.
- Forward a copy of MASO's newsletter to the editor of the "***American Journal of Orthodontics and Dentofacial Orthopedics***".
- Be responsible for editing and publishing the two MASO newsletters each year.
- Collect articles and information from the following sources as needed: component society presidents, AAO Trustee, MASO Officers and Directors, MASO committee chairpersons and Executive Director/Secretary.
- Submit all publication materials to the Executive Director/Secretary for proof reading. Attend the MASO Annual Session and MASO Continuing Education events to obtain educational articles and interviews. (Registration fees waived.)
- Receive an honorarium yearly, the amount to be determined by the Board.
- Submit proposed publishing costs to the budget committee annually.
- Make an annual report in writing to the executive committee each fall.

The Historian shall:

- The historian collects records and collates records of all significant events and historical data of the Society.
- Record information in such a way that it is easy to retrieve. This material may be printed programs, copies of publications, and national or international news relating to the society or any of its members, reprints of articles, obituaries and other pertinent

data. However, minutes of general meetings, executive committee sessions or similar business meetings such as committee records are not to be considered to be the repository domain of the historian but rather of the Secretary of the society.

- Collect objects of historical value relating to the society and its members.
- Collect a photograph and biographical data of each president and insure that a copy of the president's report outlining the activities and accomplishments of the society during his/her term of office is on file.
- Keep the membership informed of the importance of historical records.
- Account for the location and insure the accessibility of these records in a suitable place.
- Submit an annual budget request and make an annual report to the executive committee.

#### **EXECUTIVE DIRECTOR/SECRETARY:**

The Executive Director/Secretary of the Middle Atlantic Society of Orthodontists serves under contract to the Society. The responsibilities and compensation are determined by a negotiated contract that has been approved and ratified by the Executive Board. Since MASO is a member driven organization of volunteers, the main role of the Executive Director/Secretary is to assist the Officers, Directors, committees, Council representatives and members as determined by the contract. The Executive Director/Secretary is evaluated by, and answers to, the Executive Board. Since the services to be provided by the Executive Director/Secretary change from time to time, only general duties are listed here. The specific responsibilities for which MASO has contracted can only be found in his/her current contract. Each member of the Executive Board will be provided with a copy of the contract so that they are aware of the services to be provided and the cost of these services.

#### **The Executive Director/Secretary shall:**

- Provide association management services to MASO.
- Maintain and enhance the membership system.
- Coordinate and administer an effective communications network for the members.
- Provide continuity and communications between MASO and the AAO, and between MASO and the other constituent societies.
- Provide administrative services for the MASO Annual Session and for the annual spring continuing education event.
- Assist the board in establishing future annual meeting sites and dates.

- File and store all correspondence and documents and reports of the association.

## **DELEGATES/ALTERNATES TO THE AAO:**

### **Election of Delegates and Term of Office:**

Delegates (the AAO currently allows MASO seven) are elected by MASO to serve for a two-year term. Three Delegates will be elected one year and four the next. No individual Delegate may serve more than three consecutive two-year terms. A delegate who serves three consecutive terms is not eligible for re-election until an additional four-year period has elapsed.

The Nominating Committee will select MASO active members in good standing to fill these positions. The Nominating Committee shall consider representatives from all component societies in filling positions trying to be as equitable as possible in balancing representation. The president of MASO is automatically the first alternate delegate.

The election of Delegates will be held during the second business session of MASO's annual session. Nominations from the floor will be accepted during the first business session only. If more than the designated number of delegates is nominated, an election by written ballot will take place.

### **Duties & Responsibilities of a Delegate:**

#### **All delegates must:**

1. Attend the combined MASO executive committee and AAO delegation meeting, and the AAO House of Delegates meeting.
2. During the AAO annual session delegates will be expected to attend two House of Delegates meetings (remaining until the conclusion of each), two MASO caucus meetings and the reference committee hearings.
3. Delegates are responsible for studying the entire AAO workbook containing parliamentary procedures, council reports, trustee recommendations and resolutions prior to the MASO caucus meeting.
4. Delegates will be assigned to a specific reference committee and will be expected to voice the position of MASO on any and all of the resolutions that appear before that specific committee. Delegates and alternates will also be responsible to report back to the MASO caucus the overall opinions expressed on each resolution and the final recommendation of the Reference Committee pertaining to each.
5. Delegates will vote during both the first and second House of Delegates meeting on all resolutions following floor debate.
6. The majority of a delegate's time at an AAO annual session is in delegation meetings, therefore delegates will be unable to attend many of the lectures or clinics. The AAO

does have a policy where delegates can rent or purchase videos or audiotapes of the various lectures or clinics.

**Replacement of an Elected Delegate:**

If a Delegate is unable to attend a session of the AAO House of Delegates, the President of MASO will automatically become the replacement for that delegate. If a second (or third delegate) is unable to attend, the Delegation chairperson will select a replacement from the remaining alternate delegates.

**Election of Alternate Delegates and Term of Office:**

There are a total of three alternate delegates including the MASO president. Two alternates are elected annually for a term of one year. There is no limit on the number of terms an alternate delegate may serve.

The Nominating Committee will select an active MASO member in good standing to fill these positions. The Nominating Committee shall consider representatives from all component societies in filling positions and attempt to be as equitable as possible in balancing representation among the constituent societies.

**Duties & Responsibilities of an Alternate Delegate:**

1. Attend the combined MASO executive committee and AAO delegation meeting, and the AAO House of Delegates meeting.
2. Alternate delegates are responsible for studying the entire AAO workbook containing parliamentary procedures, council reports, trustee recommendations and resolutions prior to the MASO caucus meeting.
3. Be fully prepared to be seated as a Delegate, with the same duties and responsibilities.

**Replacement of an Elected Alternate Delegate:**

If an Alternate Delegate is unable to attend a session of the AAO House of Delegates, the MASO Delegation Chairperson will select a replacement from any of the elected members serving in any MASO standing committee and if necessary he or she may also select from the MASO Board of Directors (except MASO's president who is already an Alternate Delegate).

**Selection of AAO Delegation Chairman:**

Within sixty days of the election of the AAO Delegates and Alternate Delegates at MASO's annual session, an election will be held by the Delegates and Alternates to determine the Chairperson of the delegation. The MASO Secretary will distribute and receive a ballot with the names of all Delegates. The votes will be counted by the Secretary of MASO. The Delegate receiving the most votes will chair the delegation. The results of the election will be announced as soon as possible. The chair of the delegation is to attend the board meetings designated by the President, or with the approval of the President if at his/her own request.

**Duties of the Delegation Chairperson:**

1. Attend MASO Executive Board meetings.
2. Preside over all meetings of the delegation.
3. Appoint a delegation secretary.
4. Make reference committee assignments.
5. Represent MASO at a pre-AAO annual session delegate chairperson's meeting.
6. Submit MASO resolutions to the AAO within the appropriate deadline date.
7. Coordinate the activities of the delegation on the floor of the House of Delegates to maximize the influence and efficiency of the delegation.
8. Submit to the executive committee for approval per diem and airfare/travel allowance amounts. (This is to be done as early as possible for budgeting purposes.)
9. Approve all delegation expenditures for payment by the treasurer.
10. Submit a report of the delegation to the MASO executive committee sixty days following the AAO House of Delegates Meeting.

**Delegation Secretary:**

The delegation chairperson will appoint the Executive Director/Secretary or one of the alternate delegates (not the president of MASO) to serve in the capacity of delegation secretary. The duties of the delegation secretary include but are not limited to: attending the MASO caucus and AAO House of Delegates meetings; recording the attendance of delegates and alternates, and submitting a report to the MASO Treasurer for reimbursement; at the caucus, he or she will record the assignment of delegates to specific reference committees, note which delegate will be presenting MASO resolutions to the House of Delegates, and track all resolutions of the House of Delegates so that a report to the MASO executive committee can be prepared.

If not so appointed, the MASO Executive Director/Secretary will assist the delegation secretary in establishing caucus dates, schedule meeting rooms and meals, and determine the best airfares.

**Reimbursement Policies:**

The Delegates, the MASO President and the Alternate Delegates will be paid on a per diem basis for a maximum of five days. If the House of Delegates meeting is on the west coast, the per diem payments may extend to a sixth day to allow for an extra day of travel. They will also be paid an airfare/travel allowance. The per diem amount and the maximum airfare/travel allowance will be determined by the Executive Board early enough to be

included in that year's budget. Full payment will be paid only to those delegates and alternates who attend each and every MASO caucus and each and every House of Delegates meeting and who stay to the end of the last House of Delegates meeting. Funds will also be budgeted for meals for the pre-annual session caucus.

### **REPRESENTATIVES TO AAO COUNCILS FROM MASO:**

**ELECTION PROCESS:** The President shall appoint an ad-hoc committee of three members to solicit, evaluate and make recommendations to the MASO Executive Board names of members willing and qualified to serve on an AAO Council. One member will be appointed chairperson. The ad hoc Committee members cannot be prospective candidates for the council position.

The committee will advertise for prospective candidates in the official MASO newsletter at least three months in advance of the selection. All applications are to include the candidate's curriculum vitae. Current AAO Council Representatives as well as the AAO Trustee may suggest candidates to the committee.

The committee will review each candidate's credentials and these credentials along with the committee's recommendation will be forwarded to the Executive Board. If none of the candidates are acceptable to the Board, the committee will reconvene to consider other candidates. This process will continue until Executive Board endorsement is obtained for one candidate for each council vacancy.

### **DIRECTOR TO THE AMERICAN BOARD OF ORTHODONTICS FROM MASO:**

**ELECTION PROCESS:** The American Board of Orthodontics will notify MASO when an opening becomes available on the ABO Executive Board for a MASO representative. The MASO Executive Board will appoint an ad-hoc committee of four members to solicit and evaluate candidates. A candidate for the ABO board must be a diplomate of the ABO.

The committee shall be composed of four members. Three members are to be ABO certified and one member should not be certified. Committee members cannot be a member of the MASO Executive Board or a prospective nominee for the position.

The committee will advertise for prospective candidates in the official MASO newsletter at least three months in advance of the selection. All applications are to include the candidate's curriculum vitae. Current AAO Council Representatives as well as the AAO Trustee and current ABO representative may suggest candidates to the committee.

The committee will review each candidate's credentials and these credentials along with the committee's recommendation will be forwarded to the Executive Board. If none of the candidates are acceptable to the Board, the committee will reconvene to consider other candidates. This process will continue until Executive Board endorsement is obtained for one candidate for the ABO vacancy.

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When the MASO Executive Board has approved a list of three to five candidates, the list will be forwarded to the Secretary of the American Board of Orthodontics.

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## **TRUSTEE TO THE AMERICAN ASSOCIATION OF ORTHODONTISTS FROM MASO:**

An elected Trustee represents MASO at the AAO. As a member of the AAO Board of Trustees he/she is required to follow the instructions and mandates of MASO as directed.

The MASO Trustee is elected for a two-year term. A Trustee may be elected for a maximum of four terms (eight years).

In the event the Trustee from MASO is to be absent from a session of the Board of Trustees of the AAO, the President of MASO will appoint a substitute to serve until the Trustee is able to resume his/her duties. If the President is not available to make this appointment, the next available succeeding officer of MASO is authorized to appoint the substitute Trustee.

Should a vacancy in this office occur, a substitute Trustee will be appointed by the President of MASO to fill the position until a new Trustee can be elected at MASO's next annual meeting.

Following the last year of the Trustee's fourth term, the AAO House of Delegates may elect the MASO Trustee to the office of Secretary-Treasurer of the AAO. In this way he/she would be eligible to ascend through the offices of President-Elect, President and Immediate Past President of the AAO.

The office of Trustee requires a significant time commitment. A partial list of the meetings the Trustee is expected to attend includes:

1. AAO Board of Trustees meetings (currently four per year), and other meetings as required.
2. AAO Council meetings (for which the Trustee is the liaison)
3. AAO House of Delegates (seated with MASO delegation)
4. MASO Board Meetings (as an ex-officio member without a vote)
5. Each MASO caucus necessary for AAO House of Delegates deliberations

The Trustee's position is that of a liaison between the AAO and MASO. A partial list of the duties of this position includes:

1. Reporting on AAO issues and actions to MASO's membership through the MASO newsletter and at MASO's annual meeting.
2. Reporting to the MASO Executive Board:
  - a. On any vacancies that MASO needs to fill on AAO Councils or Committees.
  - b. On any important or urgent AAO or AAO Board of Trustees issues or actions in a timely manner.
3. Submit to the AAO or the AAO Executive Board:
  - a. Any inquiry or request for information or advice sought by the MASO general membership or by the MASO Executive Board.
  - b. All nominations made by MASO to fill vacant AAO Council or Committee positions.

- c. All resolutions proposed by MASO to the AAO House of Delegates.
4. Transmit any AAO or AAO Board of Trustees messages or responses back to MASO members or to the MASO Executive Board.

### **NOMINATION AND ELECTION TO THE BOARD OF TRUSTEES OF THE AAO:**

An election is held by MASO every two years to select an individual to serve as an AAO Trustee. Unless there is an unusual circumstance such as death, resignation, removal by the AAO Board of Trustees or someone decides to challenge the incumbent at the ballot box, the Trustee is normally re-elected until he or she serves the maximum number of four terms and goes through the chairs of offices at the AAO.

When a new Trustee is to be elected, the MASO Nominating Committee shall:

1. Advertise for candidates in the official MASO publication at least six months in advance of the election. All applications are to be received by the Chairperson of the Nominating Committee and distributed to all committee members upon receipt.
2. Submit name(s) of Trustee candidate(s) to the MASO Executive Board by July 1<sup>st</sup> preceding the election.
3. The Nominating Committee will publish the name(s) of all candidate(s) in the official MASO publication for distribution at least 30 days prior to the election.
4. The election will be held during the 2<sup>nd</sup> business meeting of the Annual Session.
5. Voting will be by written ballot unless there is only one candidate for office, and then he/she may be declared the nominee by the chairperson. Nominating speeches are not to exceed five minutes in length. Although nominations do not require seconds, two seconding or endorsing speeches may be made for each candidate. These will not exceed two minutes each in length.

The election will be conducted in accordance with the rules of parliamentary procedure. If more than one candidate is placed in nomination, one nominee will be selected for the position by majority vote conducted by written ballot. If additional votes are necessary to obtain a majority, then the candidate(s) with the lowest number of votes is to be dropped from successive ballots.

### **MASO STANDING COMMITTEES**

Committee chairpersons report directly to the President, and are required to attend the spring Executive Board meeting to report personally to the Board. Committee Chairpersons must also attend and present a report to the general membership at the Annual Meeting. The following are standing committees of MASO:

- Annual Session
- Annual Session Site Selection
- Budget
- Bylaws
- Communications/Publications

Education and Research  
Government Affairs  
Member Services (Membership/Ethics/Practice Transition)  
Nominating and Devlin Award

## **ANNUAL SESSION COMMITTEE**

The President-elect selects the General Chairperson of the Annual Session. At the first Board Meeting of MASO following the Annual Session the recommendation is submitted to the Board for approval. The nominee for General Chairperson should be experienced in the workings of MASO and be an active member. The Chairperson is required to attend at least one meeting of the previous Annual Session Planning Committee. The General Chairperson is responsible for the following:

1. The overall format, operation and administration of the Annual Session.
2. Appointing all Committee Chairpersons for the various Annual Session committees.
3. Prepare for Board approval a separate operating budget for the Annual Session following the policy guidelines for honorarium payments.
4. Coordinating the various aspects of the Annual Conference and maintaining liaison and accountability with all involved committees. A minimum of two planning meetings of the entire Annual Conference Committee will be needed. Travel and expenses are charged to the Annual Conference budget.
5. Disseminating progress information to the President and Executive Board.
6. Assure that appropriate letters of appreciation are forwarded to all speakers, committee chairpersons and VIP's at the conclusion of the Annual Conference.

The sub-committees of the Annual Session are listed below. Each sub-committee chairperson is responsible to attend all Annual Conference Planning Committee Meetings and follow the guidelines listed under their specific committee. All expenses are to be submitted to the Treasurer for approval and payment.

### **Scientific Program**

Doctor Program  
Auxiliary Program  
ABO Case Displays  
Orthodontic School Displays

### **Registration**

Member/Auxiliary Registration  
Door Prizes

### **Speaker Hospitality /Moderators**

Moderators for Speakers  
Ushers for Courses/Social Events  
VIP Hosting  
Assn. Hospitality Room

**Exhibitors**

Technical Exhibit Booths  
Exhibitor Table Clinics  
Sponsorships

**Publicity/Promotion**

Direct-Mail Publicity  
Journal Publicity  
Local Press

**Affiliated Groups**

American Board of Orthodontists  
Orthodontic Alumni Committees  
State Component Societies  
Dental Assistant Groups

**Social Activities**

Opening Party  
Presidential Banquet  
Tours  
Fun Run  
Tennis Tournament  
Golf Tournament

**ANNUAL SESSION SITE SELECTION COMMITTEE**

This committee is composed of the five (5) available immediate past General Chairpersons of the Annual Session. At each succeeding Annual Session, one (1) member is confirmed for a term of five (5) years. The senior member serves as Chairperson in their last year on the committee.

The Annual Session site Selection Committee shall:

1. Recommend to the Board dates and places for future Annual Sessions. The Executive Director/Secretary or a meeting coordinator may supply input on the merits of various potential sites.
2. Refer to the parameters necessary for meeting sites found in the first section of the Annual Session write up in this manual.

**BUDGET COMMITTEE:**

The committee is composed of three (3) members and the MASO Treasurer. One member is appointed at each Annual Session to serve for a three-year term. The President appoints one member to be the Chairperson. The Treasurer serves as an advisor of the committee.

The Budget Committee shall:

1. Convene a Committee meeting no later than September for the purpose of reviewing all financial records and preparing a proposed budget for the upcoming year. Records

including the current Treasurer's report, previous budgets, and anticipated income and expense in comparison with the past three (3) years should be considered.

2. Prepare an annual budget for approval by the MASO Board at the fall Board meeting.
3. The Chairperson will present a finalized budget for the upcoming year to the incoming Budget Committee chairperson after the first business meeting of the Annual Session.

#### **BYLAWS COMMITTEE:**

This committee is composed of six (6) members. At each succeeding annual Session, one (1) member is elected from the general membership for a term of three (3) years. The two (2) immediate past Presidents are ex-officio members. The sixth (6<sup>th</sup>) member is the President-elect, who acts as Chairperson.

The Bylaws Committee shall:

1. Read and become familiar with the bylaws of the Middle Atlantic Society of Orthodontists and the American Association of Orthodontists.
2. Maintain communication with the AAO attorney on AAO Bylaws changes that affect our Society, and recommend when changes in MASO's Bylaws are indicated to maintain conformity.
3. Review MASO's Bylaws and recommend to the Executive Board updates and amendments, as appropriate.
4. Examine the Bylaws of the (state) component societies and report any lack of compatibility for appropriate action.

#### **COMMUNICATIONS/PUBLICATION COMMITTEE:**

This committee is composed of three (3) members and the MASO Editor. At each Annual Session one (1) member is elected for a term of three (3) years. The President appoints one member to be the Chairperson. The Editor serves as an advisor of the committee without a vote.

The Communications/Publication Committee shall:

1. Oversee all publications of MASO.
2. Publish at least two newsletters per year, and include a summary of MASO's annual budget in the newsletter immediately preceding the Annual Session.
3. Review and recommend methods of improving communications between the orthodontic specialty and the general public, general dentists, other dental specialties, medical and allied professions.

4. Recommend programs for lay education in orthodontics. The committee needs to be aware of legislation introduced in the various state and national bodies affecting the practice of orthodontics or the dental welfare of the public. The committee then works with the Government Affairs Committee to educate the public and our lawmakers about issues concerning orthodontic care.
5. Be active during the Annual Session in issuing press releases that are of interest to the public. During the year, press releases for general newspaper consumption should, when practical, be channeled through local dental society public relations committees. The President is to be informed of these releases in advance.
6. Keep in close liaison with the AAO Council on Communications.
7. Present appropriate reports to the Executive Board.
8. Submit a budget request for anticipated expenditures during the fiscal year.

#### **EDUCATION AND RESEARCH COMMITTEE:**

This committee is composed of three (3) members. At each succeeding Annual Session, one (1) member is elected for a term of three (3) years. The senior member serves as Chairperson in their last year on the committee, and chairs the annual Continuing Education Seminar.

The function of this Committee is the development and promotion of educational programs for the membership and their auxiliary personnel. The committee also is to encourage research by graduate orthodontic departments of institutions within its constituency by awarding gifts or prizes for outstanding research contributions. (Kress Award)

The Education and Research Committee shall:

1. Present an annual one-day Continuing Education program for orthodontists and/or staff members, in the spring, in an appropriate geographical location. Gain approval for the speakers, location, costs, publicity, etc., through the MASO Board. Sponsorship monies should be solicited to cover the cost of the conference. Residents will be charged for meals only. The chairperson of the Education and Research Committee shall serve as the chairperson of the event.
2. Provide Scholarship monies (as approved by the Executive Board) to all MASO residents attending the annual AAO GORP event.
3. Oversee the William Kress Memorial Fund. The Fund is established to further the interests of orthodontic education by awarding a cash prize and certificate yearly to a student or a graduate orthodontic program in the MASO area whose thesis or research project is judged the best for that year. The award shall be made in the name of the William Kress Memorial Fund and so memorialize our Past President who had a major interest in orthodontic education under the following guidelines:

- a. The Committee of Education and Research shall administrator the award.
  - b. In April the chairperson shall contact the director of each graduate orthodontic program in our constituency, advising him or her of the award, and requesting the submission of one thesis or research project to be considered for the award.
  - c. A statement of explanation about this award is sent to each graduate orthodontic department for display on the student's notice board.
  - d. July 1<sup>st</sup> is the deadline for submission of the appropriate applicant material.
  - e. The material to be considered is rotated by mail and reviewed by the Chairperson and the other committee members. Two committee members grade each thesis on a 1 to 10 scale with the highest average determining the recipient of this award.
  - f. The Chairperson notifies the Board of the decision of the Committee. The Board notifies the winner of the award and invites the awardees to the Annual Business Meeting of the next annual session, where the President of the Society makes the presentation.
  - g. The Secretary publishes the details of the award in the official program of the Annual Session.
  - h. The Award consists of a check for \$500, complimentary registration to the conference, two night's complimentary hotel room, 30 day advance coach roundtrip airfare when the conference is beyond MASO boundaries, and two complimentary tickets to the event at which the award is given. The recipient is required to make a suitable presentation during the Annual Session.
4. Present to the Budget Committee any requests for funds that it may recommend to carry on research or investigation under the supervision of the Society.

#### **GOVERNMENT AFFAIRS COMMITTEE:**

This committee is composed of six (6) members, one from each component society. At each Annual Session, two (2) members are elected for a term of three (3) years. The Chairperson of this committee is appointed annually by the President of MASO, will serve as an ex officio member of the AAO Council on Government Affairs, and shall submit a budget request for anticipated expenditures during the fiscal year.

The Government Affairs Committee shall:

1. Review and report on any legislation affecting orthodontic care within the component jurisdictions of MASO.
2. Report on state and national legislative efforts of interest to orthodontics and dentistry.

## **MEMBER SERVICES COMMITTEE (Membership/Ethics & Judicial/Practice Transition):**

This committee is composed of five (5) members. At each succeeding Annual Session, one (1) member is elected for a term of five (5) years. The Chairperson of this committee is appointed annually by the President of MASO.

### **A. Membership Duties:**

1. Review applications and credentials for affiliate membership, active membership, life membership, and honorary membership following the qualifications specified in the AAO and MASO
2. Recommend for signature by the Chairman the application of those candidates who have fulfilled the requirements for membership.
3. Organize an orientation session for new members. This is usually done at the Annual Session; however, if the Annual Session is out of the MASO area, it may occur at the MASO Spring Continuing Education event.
4. Report membership activities to the MASO Board.
5. Request annual budgetary needs of the Committee to the MASO Board.

The minimum standards for membership requirements are promulgated by the AAO; however, the MASO Membership committee has the authority to require additional material for review as may be required to ascertain the professional competence of an applicant. The procedures for making application to the AAO and MASO are in the Addendum section of this manual.

### **B. Ethics & Judicial Duties:**

Study and investigate any alleged ethical practice violations by MASO members to determine if there is reason to refer the matter to the AAO legal counsel.

### **C. Practice Transition Duties:**

Develop, implement and sustain programs that will help MASO area orthodontic residents and MASO members with various aspects of both the transitions into and out of the practice of orthodontics.

## **NOMINATING COMMITTEE:**

1. This Committee is composed of five (5) members. They are the immediate past President, the next most immediate past President available and three (3) members-at-large. If the immediate past President and/or the next most immediate past President available cannot serve on the Nominating Committee for any reason, the President will appoint a past President to serve in their place. The past President and next most immediate past President will serve for a term of one (1) year. The past President

preceding the immediate past President serves as Chairperson. The Chairperson will submit a budget request for anticipated annual committee expenses.

2. The members-at-large will be nominated by the Board of Directors for election by the general membership at the Annual Business Meeting. In general, one member-at-large will be elected each year, and will serve for a three year term. Nominees will be selected based upon their experience in MASO and their familiarity with the character and abilities of the members nominated for the various positions.

**The Nominating Committee shall:**

Submit the names of nominees for the office of President-elect, Secretary, Treasurer, Editor, and MASO Trustees and Committee Members; and the Trustee, Delegates and Alternate Delegates, and other nominees as requested to the American Association of Orthodontists.

The committee should:

- a. Solicit from the component societies the names of those who have served well on a local level and who may be available to serve effectively in our Society.
- b. Attempt to maintain a geographic balance in its nominations wherever feasible and possible.
- c. Seek to place members in increasing levels of responsibility to develop their skills and experience.

**Distribution of Responsibility Policy (Guidelines for Selection):**

1. A person currently serving as a MASO representative to an AAO Council is not required to resign the AAO position if they are elected to serve as a MASO Director. However, they must select which of the two positions they will continue to serve, and resign the other, when their term as Director is up for renewal.
2. A current Director will not be proposed by the Nominating Committee, nor approved by the BOD, for an AAO Council position unless there are no other reasonably qualified members willing to accept the position. If a Director is elected as a Council representative, they must select which of the two positions they will continue to serve, and resign the other, when their term as Director is up for renewal.
3. A current Director or Officer (except the President) will not serve as a Delegate or Alternate Delegate to the AAO unless no other reasonably qualified member is willing to accept the position.
4. If a Director or Officer is nominated and elected as a Delegate, Alternate Delegate or AAO Council representative, that person must select which one position they will serve.
5. An AAO Council representative may not serve as a MASO Delegate or Alternate Delegate, nor may a Delegate or Alternate Delegate serve as an AAO Council representative.
6. The Nominating Committee will make every effort to insure that each component of MASO is proportionately represented when nominating persons to serve as Officers, and Directors. They will make a similar effort when nominating persons to serve as AAO Delegates, Alternate Delegates and AAO Council representatives.

7. Report the slate of nominees to the Board, and present the list to the general membership of MASO at least thirty (30) days prior to the Annual Session. The slate shall then be voted upon at the first business meeting of the Annual Session.
8. Submit the name of a nominee for the Gerard A. Devlin award.

Process:

- a) Nominations may be received from any MASO member, and are due prior to February 1<sup>st</sup> of each year.
- b) The committee will select a nominee, and forward its recommendation to the Executive Board for approval at the summer Board meeting.
- c) The award will be presented at the next MASO Annual Session.

Qualifications for nomination:

- a) All candidates should have demonstrated at least one of the following:
- b) A significant contribution to MASO beyond the usual requirements for membership, or service above and beyond that required by any official duties.
- c) A significant contribution to orthodontics as a clinician, educator, or researcher.
- d) A significant contribution to other areas of dentistry or science benefiting the dental health of the patients served by MASO orthodontists.

**MASO ANNUAL SESSION:**

The following policies and procedures are to be utilized for planning and running MASO's Annual Session. Some Annual Sessions are held by MASO alone, while others are held in conjunction with other constituent societies. The Executive Board must approve any deviation from these guidelines.

**PURPOSE:**

It is our desire to attract MASO members and their staff, AAO members, and component (state) members to MASO's Annual Session for the purposes of education, organization, business, technical information, and the sharing of practical knowledge. By making our meeting attractive and meaningful to the orthodontists, their families, and their staff members we assure the financial success of the meeting and MASO's ongoing programs.

**CONTINUING EDUCATION CREDITS:**

Orthodontists and/or their staff members will earn one hour of continuing education credit for each hour attended during a scientific lecture at the Annual Session.

**SCHEDULING:**

The Convention Site Selection Committee is charged with recommending future sites with the assistance of the Executive Director/Secretary. MASO's Annual Session is usually held within the society's geographical boundaries unless it is a joint session with another constituent society. When the AAO has its annual meeting in MASO's geographical area, MASO's meeting is often held outside our area. Selection of an October or early November date avoids conflicts with the AAO, and is a time when hotel costs tend to be

low. The best schedule begins on a Saturday and ends on Monday or Tuesday. MASO's annual operating budget includes a line item for site selection expenses, e.g. visitation by the committee chairperson, President, and/or the Executive Director/Secretary.

### **CONTRACTS:**

All conference contracts are approved by the Executive Board and signed by the President. Convention Center/Hotel contracts for the selected location should be signed four years in advance of the meeting and follow the guidelines and calendar of the AAO. Hotel contracts should include a block of at least 300 rooms for three nights; specific meeting rooms, approximately 35,000 square feet of exhibit space, one complimentary room for each 50 rooms rented; complimentary Presidential Hospitality Suite; one-year cancellation clause; and a minimal room rental agreement with possible waiver.

### **BUDGET AND FINANCES:**

Each Annual Session operates with its own established budget that is developed by the General Chairperson with the help of the Executive Director/Secretary. One-year prior to the meeting, the Executive Board will approve the budget. The Treasurer will establish a separate account for the Annual Meeting. When the books are closed at the next Annual meeting, any profits or losses are then transferred to the general books of MASO. The Executive Board will approve this transaction.

### **HONORARIUM POLICY FOR SPEAKERS:**

The total cost of speakers (honorarium, travel, lodging, meals, and audio-visual expenses) is not to exceed twenty-five percent (25%) of the total Annual Session budgeted expenses. It is best to offer speakers one sum to cover their travel expenses and the honorarium.

### **MEETING COORDINATOR:**

The Executive Board is responsible for retaining a Meeting Coordinator to assist the General Chairperson and the Annual Session Committee Chairpersons with the functions listed below. The Executive Director/Secretary may serve as Meeting Coordinator.

Working with the General Chairperson, the Meeting Coordinator will:

- Attend each Annual Session Planning Committee meeting.
- Review the overall Annual Session meeting plans and objectives.
- Prepare the Annual Session schedule of events.
- Obtain signed contracts for each speaker. Confirm their travel arrangements, lodging, meals, audio-visuals, moderating/hosting, and any special needs. Develop a program outline and other information for the printing of direct mail promotional materials.
- Plan promotion and publicity via handouts, website, direct mail, journals, and our newsletter.
- Prepare the Annual Session budget for approval.
- Review and negotiate contracts for sleeping accommodations, meeting facilities, food functions, and commercial exhibitors' space.
- Obtain written agreements for all social events/entertainment.

- Plan and coordinate meeting room and audio-visual requirements.
- Assist in the hiring of local support services; i.e. convention bureau, hospitality committees, and various service agencies.
- Assist in the selection of an exhibition and drayage company.
- Coordinate commercial exhibitor needs; e.g. participation, space requirements, etc.
- Order registration supplies and coordinate contracted on-site personnel and volunteers.
- Administer the registration process including advance registration via website and mail, and on-site registration in person.
- Provide up to two additional staff persons, as needed, at the Annual Session to oversee facility, food functions, exhibitors, speakers, and registration. (MASO will provide mileage reimbursement or round trip coach airfare and a regular (lowest price) room for each person.)
- Help MASO's ABO Director invite participation by recently confirmed ABO Diplomates to display their cases.
- Fulfill the responsibilities listed in the following Section H, #1-6.

### **SESSION COMMITTEE CHAIRPERSONS:**

Responsibility for the planning, organization, oversight, and follow-up for the MASO Annual Meeting is divided among several individuals. While the General Chairperson, in conjunction with the Meeting Coordinator, is responsible for the overall operation of the meeting, the following areas will be the responsibility of Sub-chairpersons who will assist in specific areas. These areas are:

1. Technical Exhibits
2. Registration
3. Publicity and Promotion
4. Speakers/Moderators
5. Social Activities
6. Affiliated Groups

### **TECHNICAL EXHIBIT CHAIRPERSON:**

The Technical Exhibit Chairperson is responsible for the sale of commercial exhibit space. Proceeds from commercial exhibits should generate approximately sixty percent (60%) of the Annual Session income.

#### The Chairperson will:

- a. Work with the Meeting Coordinator to review and update a list of prospective exhibitors.
- b. Assist in developing the exhibitor direct-mail prospectus and contract. Exhibit fees are to be based on the actual costs of booth packages and our pro rata cost to rent the space.
- c. Solicit contracted exhibitors for financial support for specific projects including, but not limited to, social functions, promotional, and registration materials.
- d. Design the exhibit hall layout with the assistance of the Meeting Coordinator and Exposition Company.
- e. Provide volunteer staff to check-in and register exhibitors during the set-up of exhibit booths.

- f. Visit each exhibitor personally during the Annual Session for feedback on his or her experience.

The Meeting Coordinator will:

- a. Solicit exhibitors for the Annual Session.
- b. Collect signed contracts, process payments, and make deposits.
- c. Coordinate logistics between the hotel, exhibitors, exposition company, and security company.
- d. Communicate with exhibitors their booth assignments and set-up requirements.
- e. Develop a roster of exhibitors to be handed out at the meeting.

**EXHIBIT POLICIES:**

Each exhibitor must sign a contract, which outlines the rules and regulations for that Annual Session. Exhibitors are instructed not to conduct seminars for three days before the Annual Session in the same city. Exhibitors violating this policy will be banned for five years from having a booth at the Annual Session.

Booth space should be no smaller than 8'x8' and no larger than 10'x10'. A booth package consists of pipe and drape, 6' long draped 36" high table, two chairs, waste basket and identification sign. The cost of the booth package and the pro rata rental fee of the facility will determine the fee for the exhibit booth. Exhibit contracts will be honored only if they are accompanied by full payment.

Complimentary booths are offered to the AAO, the AAOF, and AAO affiliated companies, not to exceed three (3). A booth is allotted for the upcoming MASO Annual Conference for promotional and door prize purposes. Orthodontic Program exhibits and ABO case displays are displayed in an area of the exhibit hall if space permits. Twenty-four hour security is provided for the exhibit hall and ABO case displays including set-up and breakdown times.

**REGISTRATION CHAIRPERSON:**

The Registration Chairperson is responsible for the coordination of registration of all attendees except the exhibitors. Attendees' fees should generate forty percent (40%) of the Annual Conference income.

The Chairperson will:

- a. Review the registration process from previous conferences and recommend changes, if indicated.
- b. Assist in designing the registration form.
- c. Coordinate door prize activities and schedule staff and/or volunteers to oversee the booth (located in the exhibit hall) to advertise the next Annual Session.
- d. Schedule Orthodontists to assist the paid personnel at the registration and information desks.

The Meeting Coordinator will:

- a. Announce the meeting to the membership via direct mail and our website.
- b. Process advance reservations.

- c. Order registration supplies and transport them to the meeting.
- d. Prepare nametags in advance.
- e. Train on-site registration personnel
- f. Coordinate with the hotel or convention center regarding registration set-up.

### **REGISTRATION POLICIES:**

The Annual Registration fee will be discounted until 20 days before the conference; the regular fee is charged thereafter.

1. MASO members and AAO members from other constituent societies: pay a registration or course fee set by the Board.
2. MASO/AAO retired members: registration fee is waived.
3. Students in orthodontic programs and recent graduate/associate members of MASO: registration fee is waived.
4. Auxiliaries and office staff pay a nominal registration fee.
5. Spouses, personal guests and children of MASO/AAO members: registration fee determined yearly by program package costs.
6. Non-member dentists pay a higher registration fee than members.

### **REFUND POLICY:**

1. Cancellations will be recognized up to 10 days prior to the meeting.
2. Cancellations must be received in writing or by fax at the MASO office.
3. All refunds will be subject to a \$50.00 administrative charge.
4. No cancellations will be accepted and no refunds will be issued on site for any fees or ticketed events.
5. The Board may make exceptions to the cancellation and refund policy in the case of medical or personal emergencies.
6. All approved refunds will be processed by the MASO office and issued by the Treasurer within 30 business days after the meeting.

### **SOCIETY/ASSOCIATION GUESTS**

The following persons will receive complimentary registration and tickets to all Annual Session events:

- MASO President and spouse/guest \*
- MASO Annual Session General Chairperson and spouse/guest
- MASO Executive Director/Secretary and spouse/guest/staff
- Meeting Coordinator and spouse/guest/staff
- MASO Trustee to the AAO and spouse/guest
- AAO President and spouse/guest (or designated representative)
- AAO Executive Director/Secretary and spouse/guest (or designated representative)

\*Children/grandchildren of the President will receive complimentary tickets only to the Presidential Banquet (not to exceed four (4) tickets).

The recipient and spouse/guest of the Devlin Award will receive a one-night complimentary hotel accommodation, and two (2) tickets to the event at which the recipient is honored.

The recipient of the Kress Award will receive a one-night complimentary hotel accommodation, and two (2) tickets to the event at which the recipient is honored.

### **COMPLIMENTARY ACCOMMODATIONS:**

The following persons will receive complimentary hotel accommodations:

- MASO President: One bedroom suite including a hospitality room
- MASO Session General Chairperson: One bedroom upgrade
- MASO Meeting Coordinator: One bedroom upgrade
- Speakers/Invited guests

The cost of these rooms, to the greatest extent possible, will be covered under the complimentary room provisions negotiated in the hotel agreement. The cost for the rooms not covered by the agreement will be paid by MASO.

### **PUBLICITY AND PROMOTION CHAIRPERSON:**

The Publicity and Promotion Chairperson is responsible for the promotion of the Annual Session through the MASO website, e-mail, direct mail and journal articles.

The Chairperson will:

1. Gather material from the prior Annual Session chairperson to assist the design of the program book.
2. Review the promotional campaign and all promotional materials.
3. Assist in editing and proofreading all materials and graphics.
4. Submit information to the AAO and regional editors for journal publicity
5. Appoint a photographer to take photos during the conference. Photographs should include those of the educational sessions, social functions, exhibit hall and registration area. Special emphasis should be placed on VIP and Society award sessions.
6. Forward the award photographs to the AAO and MASO editors for publication.

The Meeting Coordinator will work with the Promotions Committee in several areas:

1. Assist the graphic/typeset company in designing materials.
2. Supervise the printing company to obtain final products.
3. Conduct a direct mail promotion campaign.

### **SPEAKER/MODERATOR CHAIRPERSON:**

The Speaker/Moderator Chairperson is responsible for recruiting one moderator for each speaker at the Annual Session and a host for each VIP guest.

**The Chairperson will:**

1. Select Doctors to host and serve as moderator for each speaker.
2. Select Doctors to host each VIP guest.
3. Establish speaker guidelines and convey MASO's expectations for this assignment.

4. Extend on behalf of the MASO President, letters of invitation to VIP's (AAO President/Spouse, AAO Executive Director/Secretary/Spouse, etc.
5. Arrange for ushers to collect tickets and/or check name badges for admission to all educational and social functions.

**The VIP guest host will:**

1. Write a personal letter to the guest(s) enclosing a copy of the meeting schedule.
2. Arrange to pick up the guest(s) at the airport, bring them to the hotel and arrange transportation back to the airport.
3. Arrange for complimentary tickets to be given to the guest(s) for all scheduled events. In addition, the VIP's badge should have an identifying ribbon indicating his/her particular office so that all of our members can identify the guest.
4. Should "look after" our guest(s) during his/her stay. For evenings when planned society events are not scheduled, the designated host should take the guest(s) to dinner. MASO will reimburse the cost of the meal.

**The Meeting Coordinator will work with the Speaker/Moderator Chairperson in several areas:**

1. Confirm the participation of Moderators and Ushers in writing.
2. Plan a training session and prepare a Moderators kit.
3. Confirm the audio-visual, travel, set-up, and any other special needs of the speakers and VIP's.
4. Plan the Presidential private party.

**MODERATOR POLICIES:**

Each Moderator is budgeted a line-item amount (approximately \$75.00) to host a speaker. This is to cover personal expenses such as parking at the airport, mileage and personal meals while hosting the speaker. Written receipts must be submitted to obtain reimbursement. The speaker's meal costs and expenses are covered in the scientific program budget.

**SOCIAL ACTIVITIES CHAIRPERSON**

The Social Activities Chairperson is responsible for the social activities and events of the Annual Conference.

**The Chairperson will:**

1. Work with the Planning Committee to develop the social functions (Presidential Banquet, Welcome Party, Spouse/Children Programs, Golf/Tennis Tournaments, and Fun Run).
2. Arrange for entertainment and a Master of Ceremonies for all social functions.
3. Solicit potential sponsors for all social events.
4. Determine the fee for all social functions based on projected expenses.
5. Inform the Publicity Chairperson about all events.

6. Assist the MASO leadership in preparing for the Devlin Award and the Kress Award presentation ceremonies.

**The Meeting Coordinator will assist the Social Activities Chairperson in several areas:**

1. Obtain signed contracts for all entertainment.
2. Reserve facilities and rooms for social events.
3. Arrange for the printing of tickets and program booklets.
4. Coordinate MASO's needs with the catering and banquet departments of the hotel.
2. Communicate the details of Award Ceremonies to the Award Recipient.

**AFFILIATED GROUPS CHAIRPERSON**

The Affiliated Groups Chairperson is responsible for inviting orthodontic related organizations to participate in the Annual Meeting.

**The Chairperson will:**

1. Contact the ABO, AAOF, AAOIC, state component Societies, University Alumni Associations, and Regional Study Groups, e.g. Greater Philadelphia Society of Orthodontists; outlining our program and inviting them to participate or meet at our conference.
2. Communicate all affiliated group requests to the Annual Session General Chairperson.
3. Assure that all invited group needs are met.

**The Meeting Coordinator will assist the Affiliated Groups Chairperson in several areas:**

1. Confirm each affiliated group activity with its representative.
2. Communicate function needs with the hotel or convention center.
3. Arrange for proper space for the function.

**MEETINGS DURING THE ANNUAL SESSION**

**MASO GENERAL MEMBERSHIP**

There are two scheduled MASO general membership meetings held at the Annual Session. The purpose of these meetings is to approve new applicants for membership in MASO; elect members into MASO Offices and committees; install newly elected officers and trustees of the Society; receive the President and President-Elect's addresses; and conduct any appropriate business coming before the membership. The following are suggested agendas for the first and second business meetings:

**FIRST BUSINESS MEETING**

- I. Call to Order
- II. Invocation
- III. Approval of Agenda
- IV. Necrology Report

- V. Introduction of Guests
- VI. Comments by AAO Guests
- VII. Presidential Address
- VIII. Committee Reports
  - A. Membership
  - B. Nominating
- IX. Comments by President-Elect
- X. Unfinished Business
- XI. New Business
  - A. Presentation of Gerard A. Devlin Award.
  - B. Presentation of William Kress Award.
  - C. Presentation of Plaques
- XII. Adjournment

### **SECOND BUSINESS MEETING**

- I. Call to Order
- II. Election of Officers, Directors, etc.
- III. Installation of Officers
- IV. Adjournment

### **MASO BOARD OF DIRECTORS:**

**1st. Meeting:** The final board meeting of the outgoing officers is held in conjunction with MASO's Annual Session. It is usually held the day before the main arrival day for the members at large. At this meeting the Board approves a budget for the following year and conducts other business. Officer and Trustee-elects are invited to attend this meeting as observers. During the evening of the meeting, a dinner for current and incoming board members, their spouses/guests and AAO VIP's will be held. The cost of the officers and VIP's dinners is included in the MASO general operating budget.

**2nd. Meeting:** The first board meeting for the newly elected officers is held the morning of the final day of the annual session. At this meeting the Board and committees are restructured and future Board meeting dates are announced.

### **MEMBERSHIP APPLICATION PROCEDURES:**

#### **ACTIVE/AFFILIATE MEMBERSHIP:**

The MASO Membership Committee is responsible for processing applications for membership in MASO (the Constituent Society) and the AAO (the parent society). The Executive Director/Secretary will assist the committee with its duties.

1. Requests for active membership will be made in writing to MASO's Executive Director/Secretary.

2. The Executive Director/Secretary will return an application and instruction sheet to the applicant. The deadline for completing the application is July 1.
3. Upon receiving the completed application, the current application fee, and a copy of the applicant's orthodontic certificate, the Executive Director/Secretary will forward the application to the Membership Committee Chairperson.
4. The Membership Committee will review all applications and credentials and recommend preliminary approval, if acceptable. All applicant names will be forwarded to the Executive Board for approval at the summer Board meeting.
5. Applicants who do not meet AAO/MASO membership requirements will be notified in writing with further instructions.
6. After approval by the Executive Board, the applicant will be notified in writing that the application is complete and that their name will be submitted to the General Membership for a vote at the next Annual Session. The applicant will also be invited to attend an Orientation Session conducted by the Membership Committee for new members.
7. At least thirty (30) days prior to the Annual Session, the names and addresses of all applicants will be published and distributed to the membership in the MASO newsletter.
8. Thirty (30) days prior to the Annual Session, the AAO will be notified of pending applications. Membership certificates will be ordered from the AAO for distribution at the Orientation Session.
9. Applicants will be elected at the Annual Session after attending the Orientation Session.
10. After meeting all requirements and being voted into membership, each new member's application is signed by the Membership Chairperson.
11. The Secretary of MASO will send welcome letters to newly elected members.

**NON-RESIDENT MEMBERSHIP:**

1. A written request for non-resident status will be forwarded to the Membership Committee.
2. The committee will acknowledge the request in writing, and inform the applicant that a letter from their constituent society verifying that the person is an active or an affiliate member in good standing is required.
3. Upon receipt of the application, the appropriate registration fee, and verification of the applicant's status with their constituent society, the request will be reviewed by the Membership Committee. If preliminarily approved by the committee, the request will be forwarded to the Board.

4. After approval by the Executive Board, the applicant will be notified in writing that the application is complete and will be submitted to the General Membership for a vote at the next Annual Session. The application process will proceed in a similar manner to that of active/affiliate members.
5. Applicants who do not meet MASO membership requirements will be notified by letter with further instructions.

#### **RETIRED MEMBERSHIP:**

1. A written request for retired status will be forwarded to the Membership Committee.
2. The AAO Executive Board will verify the retirement requirements for approval.
3. An applicant granted retired status will be notified by the AAO.

#### **HONORARY MEMBERSHIP:**

1. The name of the proposed honoree will be presented to the Membership Committee with a list of accomplishments endorsed by five (5) active members. The committee will review the proposal and, if approval is recommended, the request will be forwarded to the MASO Executive Board.
2. The Executive Board will review the application.
3. The election is made by  $\frac{3}{4}$  majority vote of active members present at a general business meeting of the Society.

Revised June 2007

## **POLICY ON CONFLICT OF INTEREST**

### Preamble

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Individuals serving as fiduciaries of the American Association of Orthodontists shall at all time act in a manner consistent with their legal and ethical responsibilities to the Association, and shall exercise particular care that no detriment to the Association results from conflicts between their interests and those of the Association. A conflict of interest exists when an individual has a direct or indirect (i.e., beneficiary) interest or relationship, financial or otherwise, that may conflict or be inconsistent with the individual's duties or exercise of independent judgment with respect to the Association. If any such individual believes that he or she may have a conflict of interest, the individual shall promptly and fully disclose the possible conflict and shall refrain from participating in any way in any matter in which the possible conflict relates until and unless any such possible conflict has

been properly disclosed and resolved per this policy. In addition, careful consideration shall be given to any possible conflict of interest which may exist or be created when nominating, electing or appointing any officer, director, member of a MASO committee, member of an AAO council or committee, or representative to the AAO Board of Trustees and the AAO House of Delegates, as the case may be.

### **Resolution of Conflicts of Interest**

Generally, decisions as to whether a conflict of interest exists and should be disclosed, and whether participation in matters that may be affected by the conflict of interest is appropriate, are left to the judgment of the individual. However, in some cases, the existence of a conflict of interest may materially affect the interests of the Association. In such cases, if any member of the Board of Trustees, councils, committees, House of Delegates, or representative or staff person (an "Official") has a conflict of interest with respect to any issue and does not disclose such conflict of interest and/or refrain from participation in matters relating to the issue, then the Board of Trustees (as to fellow Board members, council members, committee members, representatives and staff) and the House of Delegates (as to any delegate or alternate delegate) shall in a manner consistent with due process, determine whether or not a conflict of interest exists, and may, by a majority vote, take one or more of the following actions:

1. Determine that there is no conflict of interest;
2. Determine that such Official's disclosure of the conflict of interest is sufficient, and that no further action is warranted;
3. Request that the Official divest himself/herself of the position or relationship that gives rise to the conflict of interest in order to participate in matters relating to the issue; and/or
4. Require that the Official:
  - a. Refrain from all deliberations and actions on issues affected by the conflict of interest, including abstaining from voting thereon;
  - b. Be physically absent from all deliberations and actions on issues that are affected by the conflict of interest; and/or
  - c. To the extent permitted by law, be denied access to any and all information, including written documents and oral and written reports that relate to issues affected by the conflict of interest.
5. The Board of Trustees or the House of Delegates, as the case may be, shall notify the constituent organization of action referenced in paragraphs 3 or 4, above, prior to any such action being taken, and constituent organization shall have the opportunity to be represented on such matter through the appointment of another person.

In addition, any consideration of a conflict of interest of an Official shall be considered during a duly scheduled meeting of the Board of Trustees or House of Delegates, as the case may be, and shall be disclosed in the minutes of that meeting.

6. When possible, the constituent organization for whom the Official serves as a representative shall be promptly notified of the time, date and place of the meeting

of the Board of Trustees or House of Delegates, as the case may be, at which its determination of the existence of a conflict of interest and action relating thereto will occur, and such constituent organization may submit a written report on any and all issues relating to the issues.

### Conflict of Interest Form

In consideration of the Association's policy and the Official's position with the Association, each Official shall complete, sign and date the following disclosure form on an annual basis, and shall update it if and when any change in the information occurs. The purpose of this form is to allow the Association to make reasonable judgments about potential conflicts and avoid total disqualification of an individual whenever possible, while giving more guidance to individuals completing the questionnaire. This will allow individuals to continue with their work for the Association to the extent possible. Answering "yes" to many or even most of the questions may not automatically disqualify an individual. Indeed, individuals who have attained high levels of expertise through affiliation with other organizations, academia, or businesses are important to the Association, provided their activity does not involve a conflict. Please keep in mind that, to avoid even the appearance of impropriety, an Official should always disclose any relationship or interest that might affect a vote, decision or action on behalf of the Association.

### PART I

For purposes of this form,

"You" and "Your" means you, your immediate family or any other third party with whom you or your immediate family has a business relationship; and

"Material Interest" means:

(a) a financial interest or professional relationship which directly, indirectly or beneficially contributes materially to your income; or

b) a significant position, such as proprietor, director, partner, spokesperson, consultant, or key employee.

If you answer "yes" to any of the following questions, please complete Part II of this form.

1. Do you have, or do you anticipate having within the next 12 months, a Material Interest in or with any business that furnishes goods or services, or is seeking to furnish goods or services, to the Association?

- Yes
- No

2. Do you have, or do you anticipate having within the next 12 months, a Material Interest in or with any health care business or facility (i.e., HMO, PPO, practice management organization, orthodontic manufacturer or service provider, etc.), other than Your orthodontic practice?

- Yes
- No

3. Do you currently have, or do you anticipate having within the next 12 months, a Material Interest in or with any health care organization, association or related professional society?

- o Yes
- o No

4. Do you currently hold, or do you plan holding within the next 12 months, any faculty positions?

- o Yes
- o No

5. Do you currently have, or do you anticipate having within the next 12 months, any other Material Interest or involvement with any other activity that may be inconsistent with your duties or exercise of independent judgment with respect to the Association?

- o Yes
- o No

By signing this form, I agree not to use my position, or any reference to past, present or future positions, with the Association to promote personal business interest. I further agree not to capitalize on, profit, or attempt to profit, from information gained as a result of my position with the Association. I agree to abide by the outcome of the resolution of any conflict of interest I may have in accordance with the procedures outlined in this policy.

I understand that the information on this form shall be provided to all members of the body or group within the Association to which I have been elected or appointed and other Association Officials who possess a legitimate interest in my disclosures, as determined by the Board of Trustees. I also understand that this information shall be accessible to AAO members to the extent permitted by law.

Signed: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

PART II

If you answered “yes” to any of the questions above, please indicate for each question:

Question No.

1. Name of Business (es), Organization(s) or Institution(s): \_\_\_\_\_  
\_\_\_\_\_

2. Nature of Its Business or Activities: \_\_\_\_\_  
\_\_\_\_\_

3. Brief Description of Your Material Interest (i.e., extent of financial interest, position held, part-time, and full-time, etc.): \_\_\_\_\_  
\_\_\_\_\_

Question No.

1. Name of Business (es), Organization(s) or Institution(s): \_\_\_\_\_  
\_\_\_\_\_

2. Nature of Its Business or Activities: \_\_\_\_\_  
\_\_\_\_\_

3. Brief Description of Your Material Interest (i.e., extent of financial interest, position held, part-time, and full-time, etc.): \_\_\_\_\_  
\_\_\_\_\_

Question No.

1. Name of Business (es), Organization(s) or Institution(s): \_\_\_\_\_  
\_\_\_\_\_

2. Nature of Its Business or Activities: \_\_\_\_\_  
\_\_\_\_\_

3. Brief Description of Your Material Interest (i.e., extent of financial interest, position held, part-time, and full-time, etc.): \_\_\_\_\_  
\_\_\_\_\_

Question No.

1. Name of Business (es), Organization(s) or Institution(s): \_\_\_\_\_  
\_\_\_\_\_

2. Nature of Its Business or Activities: \_\_\_\_\_  
\_\_\_\_\_

3. Brief Description of Your Material Interest (i.e., extent of financial interest, position held, part-time, and full-time, etc.): \_\_\_\_\_  
\_\_\_\_\_

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## **SEXUAL HARASSMENT POLICY:**

It is the policy of the American Association of Orthodontists that all employees and members should enjoy an environment free from unlawful harassment. The Association is committed to maintaining a pleasant, professional work environment, and behavior that could be perceived as sexual harassment is prohibited. This policy prohibits unlawful harassment in any form, including sexual harassment, unlawful harassment relating to race, color, age, ethnicity, religion and disability or any other legally protected characteristic.

Sexual harassment has no place at the Association, and will not be tolerated. Sexual harassment includes unwelcome sexual advances, requests for sexual acts or favors, unsolicited and intimidating sexual overtures or other verbal or physical conduct of a sexual nature when (a) submission or rejection of such conduct is a term or condition of employment or is a basis for employment decisions or (b) such conduct interferes with an

individual's work performance, or (c) the conduct creates an offensive or intimidating work environment.

Harassment can include, but is not limited to, the following behavior:

Verbal conduct such as sexual innuendo, sexually suggestive "kidding" or "teasing," jokes about gender-specific traits, unwanted sexual overtures or comments, inquiries or discussions concerning one's sexual experiences, comments about an individual's body;

Visual conduct such as derogatory and/or sexually oriented posters, photography, cartoons, drawings, e-mails or gestures;

Physical conduct such as unwanted touching, intentional brushing against the body;

Threats or demands to submit to sexual requests as a condition of continued employment or to avoid loss of benefits, or offers of benefits in return for sexual favors; and

Retaliation for having reported or threatened to report harassment.

Whenever possible, any person who is experiencing unwelcome conduct of the type generally described above should inform the person engaging in the conduct that it is unwelcome and request that it stop.

All members, especially those in leadership position, are warned not to engage in such conduct in connection with the performance of the Association activities. This includes the member's relationships with AAO staff, as well as anyone that the member encounters as part of his/her Association responsibilities, e.g. other members and staff of other associations, exhibitors, vendors, etc.).

Member leaders are urged to remember that their positions carry authority and that it may be difficult for an employee to differentiate between a request that must be addressed as part of their assigned duties and personal requests.

Any person who believes that he/she has been unlawfully harassed by a member, co-worker, supervisor or other business visitor of the AAO, or who has witnessed such harassment, is strongly encouraged to report the facts of the incident or incidents to the Executive Director/Secretary. The AAO can only resolve matters brought to its attention; accordingly, the AAO encourages all persons to come forward with information about allegations of unlawful harassment. Retaliation for making a complaint or cooperating with an investigation of alleged harassment is strictly prohibited. In the event of a conflict of interest or in the absence of the Executive Director/Secretary, the information may be reported to the General Counsel. All complaints will be addressed promptly, and confidentiality will be maintained to the extent possible. The complainant may be required to submit the complaint in writing. No adverse or retaliatory action will be taken against an employee, member or member leader for filing a complaint. Complaints will be investigated in a fair and impartial manner and the complainant and the person complained about will be informed of the result of the investigation although not necessarily the specific action taken. In the event it is determined that the complaint has merit, appropriate action (up to and including termination) will be undertaken by the AAO.

## **FRATERNIZATION POLICY:**

Members of the Association should never engage in sexual relations with AAO employees. Such conduct can adversely affect the operation and reputation of the Association.

## **WHISTLEBLOWER POLICY:**

The MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS Whistleblower Policy: (1) encourages staff and volunteers to come forward with credible information on illegal practices or serious violations of adopted policies of the association; (2) specifies that the association will protect the person from retaliation; and (3) identifies where such information can be reported.

1. Encouragement of reporting. The MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS encourages complaints, reports or inquiries about illegal practices or serious violations of the association's policies, including illegal or improper conduct by the association itself, by its leadership, or by others on its behalf. Appropriate subjects to raise under this policy would include financial improprieties, accounting or audit matters, ethical violations, or other similar illegal or improper practices or policies. Other subjects on which the MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS has existing complaint mechanisms should be addressed under those mechanisms, such as raising matters of alleged discrimination or harassment via the association's human resources channels, unless those channels are themselves implicated in the wrongdoing. This policy is not intended to provide a means of appeal from outcomes in those other mechanisms.
2. Protection from retaliation. The MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS prohibits retaliation by or on behalf of the association against staff or volunteers for making good faith complaints, reports or inquiries under this policy or for participating in a review or investigation under this policy. This protection extends to those whose allegations are made in good faith but prove to be mistaken. The MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS reserves the right to discipline persons who make bad faith, knowingly false, or vexatious complaints, reports or inquiries or who otherwise abuse this policy.
3. Where to report. Complaints, reports or inquiries may be made under this policy on a confidential or anonymous basis. They should describe in detail the specific facts demonstrating the bases for the complaints, reports or inquiries. They should be directed to the MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS President or Executive Director; if both of those persons are implicated in the complaint, report or inquiry, it should be directed to any officer of the association. The MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS will conduct a prompt, discreet and objective review or investigation. Staff or volunteers must recognize that the association may be unable to fully evaluate a vague or general complaint, report or inquiry that is made anonymously.

## **ANTITRUST COMPLIANCE POLICY:**

### **I. GENERAL POLICY STATEMENT.**

It is the policy of the MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS to comply fully with all applicable laws, including antitrust laws, to avoid unlawful conduct, and to take steps to support such compliance. MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS leaders, employees, and members should be aware of this Policy, and the particulars of its/these guidelines.

### **II. STATEMENT REGARDING ANTITRUST LAWS.**

Associations such as the MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS provide an important benefit to their members and to the public, including fostering competition. Any time potential competitors are involved in any joint activity, the potential for even unintended prohibited conduct exists. Because the MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS includes potential competitors (*i.e.*, its members), it may be subject to special scrutiny under a number of state and federal antitrust laws. As a result of this scrutiny, the MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS, its leaders, employees and members must do their utmost to avoid even the appearance of the opportunity for improper actions.

Some basic understanding of the antitrust laws is necessary to understand how to avoid such accusations.

Antitrust laws may be enforced by the United States Department of Justice, the Federal Trade Commission, by states that have enacted antitrust legislation, and private parties (*i.e.*, consumers and competitors). Civil and criminal actions may be brought for alleged violations of antitrust laws, and penalties—including fines and even imprisonment—can be severe.

No agreement regarding prices of goods or services should be made or discussed in any way. Price agreements, regardless of the purpose for which they are formed, are strictly prohibited by the antitrust laws. If prices are proven to have been agreed to or “fixed,” it is not a defense that the prices were reasonable or that the reason for the price agreement is justifiable on other grounds such as quality control. Further, because the antitrust laws are criminal statutes, leaders, employees and members of the MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS who actively participate or acquiesce regarding an unlawful price agreement may be held criminally liable. Similarly, MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS members may not agree, even informally, to allocate or divide patients or customers, or to boycott or refuse to deal with persons or entities. Such activity is strictly prohibited. Further, MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS membership criteria may not be used to deny access to services or information necessary for competition.

This Policy is not intended to be (or contain) an exhaustive listing of all activity that may be considered illegal.

### **III. GENERAL MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS GUIDELINES.**

In order to effectuate compliance with this Policy, MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS leaders, employees and members should adhere to the following procedures whenever possible:

- A. Agendas of meetings of the Board, Delegates, and Business Meetings (and other meetings that potentially concern matters of antitrust significance) should be reviewed in advance.
  - 1. This Policy should be provided to each member of these groups.
- B. In order to avoid even the appearance of the potential for a violation of the antitrust laws, MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS leaders, employees, and members must not discuss certain sensitive subjects at MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS meetings, whether the meeting is formal or informal. The following subjects should not be discussed at any MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS meeting:
  - 1. Establishing or fixing prices for services they provide;
  - 2. Establishing or fixing of employee salaries;
  - 3. Allocating or restricting markets; or,
  - 4. Boycotting a certain company or entity because of its pricing or distribution practices.

Informal discussions regarding any of the foregoing matters should also be avoided.

In addition, the foregoing items are meant to be illustrative of subjects that should be avoided, and not exhaustive.

- C. Before any MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS leader, employee or member initiates a survey or request for information regarding any subject matter that may be considered to be competitively sensitive (*i.e.*, a member survey regarding fees charged by members or employee salaries), the leader, employee or member must obtain the prior written approval of all appropriate individuals per the AAO's Policy on Surveys.

Leaders, employees, and members who have questions or concerns about a certain topic or subject addressed in this Policy should direct such questions to the AAO General Counsel and/or their own personal attorney.

#### **IV. MEMBERSHIP POLICIES.**

MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS membership policies are designed to be non-discriminatory. MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS policies are designed to be pro-competitive, and not to exclude competitors. MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS membership policies also are designed to avoid:

- 1. Restrictions on dealings with non-MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS members;

- 2. Exclusions from membership;
- 3. Limitations on access to MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS information.

**V. PRINCIPLES OF ETHICS.**

The AAO *Principles of Ethics and Code of Professional Conduct* and related *Bylaws* provisions help to ensure ethical conduct by MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS members, and establish and maintain public confidence in the MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS's members. They are designed to be reasonable and proportionate in terms of sanctions for violations, and to provide members accused of violations with ample opportunity to be heard. They are designed to avoid any issues relating to competition, and have been clearly communicated to MIDDLE ATLANTIC SOCIETY OF ORTHODONTISTS members. Further, the AAO *Principles of Ethics and Code of Professional Conduct* will not be used:

- 1. To require the refusal to deal with any member who violates the *Principles of Ethics and Code of Professional Conduct*; and
- 2. as a means to regulate activity if such application would result in an antitrust violation.

**RECORDS RETENTION POLICY:**

**ASAE Records Retention Schedule**

**Retention Period**

Accident reports and claims (settled cases) .....	7 years
Accounts payable ledgers and schedules .....	7 years
Accounts receivable ledgers and schedules.....	7 years
Audit reports of accountants .....	Permanently
Bank reconciliations.....	2 years
Capital stock and bond records; ledgers; transfer registers; stubs showing issues; record of interest coupons; options; etc.....	Permanently
Cash books.....	Permanently
Charts of accounts.....	Permanently
Checks (canceled, but see exception below) .....	7 years
Checks (canceled for important payments, i.e., taxes; purchases of property; special contracts; etc. Checks should be filed with the papers pertaining to the underlying transaction.).....	Permanently
Contracts and leases (expired).....	7 years
Contracts and leases still in effect .....	Permanently
Correspondence (routine) with members, customers, or vendors .....	1 year
Correspondence (general).....	3 years
Correspondence (legal and important matters only).....	Permanently
Deeds, mortgages and bills of sale.....	Permanently
Depreciation schedules .....	Permanently
Duplicate deposit slips.....	2 years
Employee personnel records (after termination).....	3 years
Employment applications.....	3 years
Expense analyses and expense distribution schedules.....	7 years
Financial statements (end-of-year, other months optional).....	Permanently

General and private ledgers (and end-of-year trial balances).....	Permanently
Insurance policies (expired).....	3 years
Insurance records, current accident reports, claims, policies, etc.....	Permanently
Internal audit reports (in some situations, longer retention periods may be desirable) .....	3 years
Inventories of products, materials and supplies.....	7 years
Invoices to members and customers .....	7 years
Invoices from vendors .....	7 years
Journals .....	Permanently
Membership applications.....	3 years
Minutes of directors and committees, including by-laws and charter .....	Permanently
Notes receivable ledgers and schedules .....	7 years
Option records (expired).....	7 years
Payroll records and summaries, including payments to pensioners .....	7 years
Petty cash vouchers .....	3 years
Physical inventory tags.....	3 years
Plant cost ledgers .....	7 years
Property appraisals by outside appraisers.....	Permanently
Property records, including: costs; depreciation reserves; end of year trials balances; depreciation schedules; blueprints and plans .....	Permanently
Purchase orders (except purchasing department copy) .....	2 years
Receiving sheets .....	2 years
Requisitions .....	2 years
Sales records.....	7 years
Savings bond registration records of employees.....	3 years
Scrap and salvage records (inventories, sales, etc.) .....	7 years
Stock and bond certificates (canceled).....	7 years
Stockroom withdrawal forms.....	2 years
Subsidiary ledgers .....	7 years
Tax returns and worksheets; revenue agents' reports and other documents relating to determination of income tax liability.....	Permanently
Time books.....	7 years
Trade mark registrations.....	Permanently
Voucher register and schedules .....	7 years
Vouchers for payments to vendors, employees, etc. (Includes: allowances and reimbursement of employees, officers, etc., for travel and entertainment expenses.) .....	7 years