

# Policy & Procedure Manual



SPRINGFIELD BOARD OF REALTORS

**Your Experts. Your Community. Your Home.**

**CONTAINS ALL POLICIES AND PROCEDURES OF  
THE SPRINGFIELD BOARD OF REALTORS®  
REVISED AND ADOPTED BY THE BOARD OF DIRECTORS ON  
October 2025/ February 2026**

A professional association is set up to accomplish certain definite purposes for its members. It therefore, must be governed by certain policies and procedures.

The purpose of this manual is to define the policies and procedures for the functioning committees, the board, and staff of the Springfield Board of REALTORS®.

This manual will include all Association policies that are required in order to support the current Bylaws of the Association and those approved policies necessary to administer the Association's day-to-day operations.

This manual will also provide volunteer leadership and REALTOR® members with a standard guide to professionalism in the management of this Association.

If any provision of this policy manual conflicts with the laws of the State of Ohio; the bylaws of the Association; the bylaws, rules and regulations or other policies of the MLS; or with any policies or procedures which are mandatory requirements of Ohio REALTORS® or the National Association of REALTORS® (collectively, called "the Overriding Documents"), then the provisions of the Overriding Documents will control over this manual.

Policy #	Name	Adopted	Reviewed(RV) or Revised (RS)
1	General Office & Human Resources	8/17/2025	RS 4/2024
2	Ballots	5/16/2001	RV 8/2025
3	New Member Fees	7/3/1990	RV 4/2024
4	Political Contributions	12/5/1990	RV 4/2024
5	SBOR Finance Committee	2/7/1990	RV 4/2024
6	Professional Standards & Arbitration Fees	2/7/1990	RV 4/2024
7	Travel Expense Reimbursement	3/2/1988	RS 4/2024
8	Bereavement	2/1/1989	RV 4/2024
9	Keys to the Board Office Building	1/6/1982	RV 4/2024
10	Board of Directors Meeting Attendance	1/6/1982	RV 4/2024
11	Check Signatures	3/2/1983	RV 4/2024
12	Rental of Board Conference Room	11/8/1980	RV 4/2024
13	Parking Space Rental	5/3/1989	RV 4/2024
14	New Licensees Membership Dues/Orientation	3/3/2014	RS 4/2024
15	Delinquent Dues, Assessments, & Fees	2/6/1991	RV 4/2024
16	Membership Reinstatement	8/2/1989	RV 4/2024
17	Voting by the Board of Directors	8/5/1980	RV 4/2024
18	Defending Officers & Directors, Legal Action, COI	2/4/1976	RV 9/2025
19	Board of Directors' Meeting Information	3/3/1982	RV 4/2024
20	Committee Expenses	3/3/1982	RV 4/2024
21	Membership Roster	5/15/1986	RS 4/2024
22	Reservation Refunds	7/7/1989	RV 4/2024
23	Violation of License Law	1/4/1989	RV 4/2024
24	REALTOR® Store	5/16/2001	RV 4/2024
25	Lock Boxes	9/19/07	RV 4/2024
26	Privacy and Security, Cyber Security	5/21/2008	RV 6/2025
27	Financial Procedures Policy	6/18/08	RV 4/2024
	Credit Card Policy	12/4/2025	
28	Ombudsman Policy & Log	8/19/15	RV 4/2024
29	Steps to Leadership	8/17/2015	RV 4/2024
30	AE Job Description & Evaluation		
31	Records Retention Policy	1996	RV 8/2025
	AE Session Plan	2026	

# MISSION STATEMENT

It is the mission of the Springfield Board of REALTORS® to be the leading force advancing the real estate industry in our community. The Springfield Board of REALTORS®, through growth, communication and technology will provide programs and services which enhance and support our members' ability to conduct their personal service business professionally and successfully.

## GENERAL OFFICE & HUMAN RESOURCES

### POLICY 1

#### PURPOSE OF POLICIES

The purpose of this manual is to set the rules, regulations, and procedures by which the Springfield Board of REALTORS®, may further be referenced as SBOR and/or the Board, as an organization, runs. This manual describes in detail the expectations that SBOR has of its employees, and Board of Directors.

#### STATEMENT OF BUSINESS PRACTICES

The following code of conduct is intended to provide guidelines for the professional, ethical, legal, and socially responsible behavior we expect of our employees.

**Professional Integrity:** Professionalism means approaching the business with integrity, honesty, ethical conduct and respect toward our customers and members. Professional Integrity through honesty in all dealings is the best way to get and keep an organization over the long term. Simple honesty also forms the basis for the best business protection we can get. It is a simple, effective, efficient, and cost-effective risk reduction method. The basis for which we base our standards is the REALTOR® Code of Ethics.

#### CONFIDENTIALITY

Except as properly authorized by the Board of Directors, it is the responsibility of all employees, and anyone associated with SBOR to maintain the confidentiality of proprietary information of the Springfield Board of REALTORS® and information that is otherwise not readily available to the public.

Employees should refrain from discussing confidential information with outsiders and with anyone else who does not have a legitimate need to know the information. Employees should refer outside inquiries regarding the organization to the person(s) authorized to respond to the inquiry.

All employees who suspect violations of this policy have an obligation to report their concerns to the President, any officers, or any member of the Board of Directors. Employees may also relate their suspicions or specific incidents to any member of the board of directors.

All allegations of improper or illegal behavior will be investigated promptly and thoroughly. The investigation shall remain as confidential as practical and those conducting the investigation shall respect the privacy of all people involved.

## **EQUAL EMPLOYMENT OPPORTUNITY POLICY**

It is the policy of SBOR to uphold the high standards as set forth in the Code of Ethics of the National Association of REALTORS®. Therefore, equal opportunity of employment is the framework upon which all employment is based. To achieve this purpose, we will recruit, hire, and promote for all positions without regard to race, color, religion, sex, age, national origin, handicap status, familial status, status as a Vietnam-era veteran, or other protected characteristics to all qualified employees and applicants for employment. This policy applies to all areas of employment: job assignment, training, promotion, transfer, compensation, discipline, and discharge. The board abides by all promotions, compensation, demotions, layoffs, or termination policies are based on federal and state laws regarding employment practices, including but not limited to the Americans with Disabilities Act. Furthermore, we are committed to ensuring that individual job qualifications, experience, and performance are without discrimination.

## **POLICY AGAINST HARASSMENT**

This is addressed in the Bylaws of the Springfield Board of REALTORS®.

## **OFFICE HOURS**

Office hours will be 9:00 a.m. to 3:00 p.m. Monday through Thursday.

## **HOLIDAYS**

The Springfield Board of REALTORS® office closes on the following holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, Christmas Eve, Christmas Day, and (1) floating holiday. Floating holiday will require approval from the Board President. In the event a holiday falls on a day the office is already closed, the holiday will be observed on the next business day.

## **SMOKING POLICY**

The Springfield Board of REALTORS® has a non-smoking policy within the confines of the office and meeting facilities.

## PUBLICITY

To assure proper responses to media inquiries, all routine calls should be referred to the President. It is the responsibility of the one preparing information for the news media that the information does not go counter to established SBOR policy or give publicity to matters that are not ready for publicity.

## USE OF COMMUNICATION SYSTEMS

Communications services and equipment include: mail, electronic mail ("e-mail"), courier services, telephone systems, personal computers, computer networks, on-line services, Internet connections, Intranets, computer files, cellular phones, voice mail, and bulletin boards.

- All SBOR communications services and equipment, including the messages transmitted or stored by them, are the sole property of SBOR. Accordingly, the Board of Directors may access and monitor employee communications and files as it considers appropriate.
- Online services and the Internet may be accessed only by employees specifically authorized by the Board of Directors. Authorized employees must disclose all passwords to the President. In addition, employees should not duplicate or download from the Internet or from an e-mail any software or materials that are copyrighted, patented, trademarked, or otherwise identified as intellectual property without express permission from the owner of the material. When appropriate Internet material or e-mail files are downloaded, they should be scanned using the Board's antivirus software.
- Incidental personal use by employees of the Boards communications services and equipment is allowed as long as the use does not interfere with the employee's work or the Board's operations and does not violate any Board policies.
- Employees should ensure that no personal correspondence appears to be an official communication of the SBOR since employees may be perceived as representatives of the Board and therefore, damage or create liability for the Board. Employees may not use SBOR stationery or postage for personal letters.

## PERFORMANCE REVIEWS

An employee evaluation report will be utilized to review employee performance and goals 6 months after being hired and then on a yearly basis.

## COMPENSATION

### Pay Periods

EO are paid on a bi-weekly basis. Salary checks will be deposited on Thursday.

### Payroll Deductions

Deductions from the payroll check may include the following:

- Federal withholding tax
- State withholding tax
- Social Security (FICA & Medicare)
- Court Ordered garnishments

### Overtime

Overtime will not be paid to Executive Officer. Comp time will be used in lieu of overtime and will be arranged with the President.

### Vacation Policy

No vacation First year

2 to 4 years -10 days

5 to 10 years – 15 days

All vacation time must be used in the year. No carryover unless approved by the Board of Directors.

### Personal Days – 7 Days a year

Personal Days may be used for illness or other personal reasons. Employee will notify the President or Board of Directors as soon as he/she knows that he/she will be unable to report to work, but no later than the employee's scheduled start time.

### Funeral Leave

Employees will receive up to 3 days of paid funeral leave in the event of the death of an immediate family member. Immediate family members are defined as spouse, child, sibling, parent, grandparent, and in-laws.

### Maternity Leave

Maternity leave will be granted to permanent employees for a period up to six weeks, including any earned vacation or personal leave. All permitted leave, after using vacation time or personal leave, will be without pay. Maternity cases are allowed to work as long as their health permits, with approval of their physician. Employee will notify President as soon as she knows that she will be unable to report to work.

## Jury Duty

If an employee is summoned for jury duty, he/she will be excused from work. Employee must notify President or Board of Directors immediately upon receiving notice of jury duty. Full-time employees will be paid for 8 hours of work for each day of jury service. Proof of service must be submitted to the Board of Directors

## Weather Emergency

In the event of hazardous weather and travel conditions it may be necessary to close the board office. The decision to be closed is the responsibility of the Executive Officer and the President. Safety is the upmost concern.

## Mileage Disbursement

Reimbursement of travel funds is provided to employees who travel in an official capacity to represent the Springfield Board of REALTORS®. These reasonable and necessary expenses shall include transportation, lodging and meals, when necessary, which are paid by the employee.

All travel requires advance approval by the Board of Directors. All receipts & monthly mileage must be turned into the Board of Directors for Approval each month.

Employees traveling in privately owned vehicles will be allowed mileage expenses at the rate of (federal government allowance) per mile, provided such mode of travel has been previously authorized and paid out of pocket.

## Acknowledgement

I have read the above Policy

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Name and Date

## General Disclaimer:

This policy is a guideline for the Springfield Board of REALTORS®. However, circumstances may arise in which we find it necessary to take other steps not specifically designated in this policy. We reserve the right to do so at our discretion and when we believe business conditions warrant.

## POLICY 2

### BALLOTS

The election of Officers and Directors is a secret ballot, all votes will be cast in person. Absentee ballots must be filled out at the Board Office during times & dates set forth by the nominating committee and approved by the board of directors and will be made available to the membership when the ballot is released. Absentee ballots will not be accepted any later than 12:00 Noon one (1) day prior to the date of election to be deemed qualified for counting. All ballots will be counted by the Election Committee.

## POLICY 3

### NEW MEMBER FEES

The Springfield Board of REALTORS® application/initiation one-time fee for new REALTOR® members and Affiliate Members is Fifty dollars (\$50.00), which is non-refundable.

## POLICY 4

### POLITICAL CONTRIBUTIONS

The SBOR will not make local political campaign contributions. Reference Article X, Section 6 of the SBOR by-laws.

## Policy 5

### SBOR FINANCE COMMITTEE

The Finance Committee will consist of the President, President-Elect, Treasurer, Executive Officer and one (1) Member of the Board of Directors appointed by the President. The Treasurer shall serve as Chairperson. If any Finance Committee Member fails to attend **two (2) consecutive meetings**, his/her membership on the Finance Committee will terminate. The Finance Committee will meet quarterly, or as deemed necessary by the Board of Directors, to review the finances of the Springfield Board of REALTORS®. The Finance Committee will then submit a report to the Board of Directors with recommendations as needed. The Finance Committee will submit a proposed yearly budget to the Board of Directors in **November** of each year. The final budget will be prepared after dues collection deadline of January 1 and submitted for the board of directors' approval.

## POLICY 6

### PROFESSIONAL STANDARDS & ARBITRATION FEES

Arbitration and Professional Standards hearings are conducted per Professional Standards Cooperative Agreement with the Ohio Board of REALTORS. The Board of Directors may impose administrative processing fees not to exceed \$500.00 against respondents found in violation of the Code of Ethics or other membership duties, when these fees are warranted. Any administrative processing fee will be in addition to, and not part of, any disciplinary sanction imposed.

## POLICY 7

### TRAVEL EXPENSE REIMBURSHMENT

Any SBOR certified representative requesting reimbursement must have prior approval from the SBOR Directors and must attend meetings pertaining to SBOR business for the benefit of the Board. Those eligible for reimbursement are: **President, President-Elect, Executive Officer, OR Directors, WRIST Directors and SBOR RPAC/Legislative Chair** current year.

The Board upon receiving written reports, receipts and/or expense vouchers for normal business expenses incurred when attending OR, NAR conventions, conferences and/or WRIST meetings on behalf of SBOR will be reimbursed. **Expense vouchers, receipts and reports must be received at the board office within 30 days from date of attendance at above meetings.** (30 day exception is addressed below for Wrist Directors). Personal expenses will not be covered. If reservations and or registrations are made by the President, President-Elect or Executive Officer and they do not use the reservation/registration, they are responsible for expenses incurred. All expenses for NAR events must be pre-approved by the Directors prior to the event the SBOR representative will attend. **Nothing will be reimbursed without a receipt.**

Members receiving paid expenses to attend NAR and OR meetings, conferences and conventions shall attend as many meetings as possible that are beneficial to SBOR and submit written reports to SBOR regarding those meetings.

Those attending the OR Legislative/Spring Conference shall be the **President, President-Elect, Executive Officer, and Legislative/RPAC Committee Chair.** The registration fee shall be paid by the Board, mileage shall be paid according to Travel Expense Policy. Directors' preapproval will be needed for over-night stay at this conference.

The Board will pay for all meals and event tickets whenever the President and Executive Officer attend meetings as representatives of the Board. **The board will pay for meals up to \$75 per day, not including alcohol.**

Wrist Directors – Shall be reimbursed \$30.00 for each monthly WRIST MLS meeting attended on behalf of the SBOR Board. WRIST Directors shall submit a quarterly request for payment along with a short report of activities covered each month during the WRIST meeting.

\*Mileage will be paid in accordance to IRS regulations

\*\*A copy of this “Board Paid Expense” Policy shall be provided to all participants yearly no later than January 1.

## POLICY 8

### BEREAVEMENT

Upon the death of a Springfield Board of REALTORS® Member or the Executive Officer, a **\$100.00 flower arrangement will be sent**, or at the discretion of the Executive Committee other considerations may be made not to exceed \$100.00.

## POLICY 9

### KEYS TO THE BOARD OFFICE BUILDING

The following persons are allocated office keys: **current President, President-Elect, Treasurer, and Executive Officer.**

## POLICY 10

### BOARD OF DIRECTOR MEETING ATTENDANCE

Any Officer or Director who is absent **three (3) times in a calendar year** may lose his/her position pursuant to Article XII, Section 2 of the Springfield Board of REALTORS® Bylaws.

If an Officer or Director is unable to attend a Board of Directors meeting, he/she must notify the Executive Officer or President.

The Executive Officer shall notify the Officer or Director, in writing, of his/her second absence.

## POLICY 11

### CHECK SIGNATURES

**Two (2) signatures are required on all checks.** The following are qualified to sign checks: **current President, President-Elect, Treasurer, and Executive Officer.**

If check is made payable to any officer, that officer cannot sign check to self.

## POLICY 12

### RENTAL OF BOARD CONFERENCE ROOM

Conference room may be rented at a current charge of \$ 50.00 per 4-hour session. If a member is providing service/education for members, the fee may be waived. Non-members charge is \$100.00 per 4-hour session plus \$50.00 security deposit. The deposit will be refunded promptly per room rental agreement (usually within 48 hours). Room rental is at the discretion of the Board of Directors and the availability of a Director Sponsor who will be responsible for opening and closing of the Board Office.

Educational instructors may rent the conference room for classes at above applicable rate, if the class is open to all Springfield Board members, even if the instructor is charging a fee for the class.

\*Small brokerages may be permitted to conduct closings in the board office, if available, 'as is' and only if closing is completed during normal business hours/days at no cost. This free usage of board office is at the discretion of the Board of Directors who have established, and shall amend/rescind, this policy from time to time.

## POLICY 13

### PARKING SPACE RENTAL

The Springfield Board of REALTORS® will not rent parking spaces to anyone due to legal liabilities and insurance costs.

## POLICY 14

### NEW LICENSEES' MEMBERSHIP DUES/ORIENTATION

New licensees will be invoiced for their SBOR membership dues and fees. **If the membership dues and fees are not paid within thirty (30) days, the Broker will be sent a copy of the invoice with reference to Article V, Section 4C of the Springfield Board of REALTORS® Bylaws.**

New Licensee's membership dues will be pro-rated from the first day of the month based on their license issue date.

The application form for membership to the Springfield Board of REALTORS® shall include sufficient application information. The Board of Directors shall have the authority to request additional information if considered necessary.

After applicants to the Springfield Board of REALTORS® are approved by the Board of Directors, applicants must complete the orientation class **within ninety (180) days. A fee of \$50 per 90 days will be charged until member is compliant and Broker notified.** Failure to do so will result in suspension by the Board of Directors.

The Orientation class will have the President, or if not available, an experienced member, as speaker to cover topics such as SBOR forms and contracts, open house guidelines, local board rules and policy, etc.

## POLICY 15

### DELIQUENT DUES, ASSESSMENTS & FEES

The Executive Officer shall automatically send electronic communication to the REALTOR member when dues, assessments and any other fees set by the Board of Directors become delinquent. The communication shall remind them of their tardiness with reference to Article X, Section 4 of the Springfield Board of REALTORS® Bylaws and the assessment of a late fee payable with membership dues.

**Delinquent SBOR dues/assessment fees will be assessed a \$50.00 late fee if not paid by July 1. SBOR dues not paid by August 1<sup>st</sup> will be assessed an additional \$50.00 late fee. Delinquent OR and NAR dues will be assessed at \$50.00 if not paid by January 1. Dues not paid by January 31 will be assessed an additional \$100.00.**

**If dues remain unpaid by the business day prior to February 15th** deadline membership of the nonpaying Member shall **automatically terminate, and an additional \$250.00 reinstatement fee will be imposed** if former member should apply for reinstatement in a manner prescribed in Article X, Section 4 of the Bylaws. If **assessments remain unpaid thirty (30) days after the due date, membership of the nonpaying Member shall automatically terminate and an additional \$500.00 reinstatement fee will be imposed** if former member should apply for reinstatement in a manner prescribed in Article X, Section 4 of the Bylaws.

If a Realtor member retires, quits (returning license) or transfers to an office not a member of SBOR between July 1 and December 31, the member may be entitled to reimbursement of the SBOR local dues. Fees and/or assessments will not be refunded. **The member will be required to submit a letter from their current broker stating their retirement, returning of license to the state or transferring to a non-member office of SBOR by December 31 of that given year. Before refund is issued the license will be verified "returned" at The Ohio Division of Real Estate and Professional Licensing.**

## POLICY 16

### MEMBERSHIP REINSTATEMENT

Any REALTOR® or Affiliate seeking reinstatement to the Springfield Board of REALTORS® **must submit a new membership application** to the Board of Directors for approval. REALTOR® Members who are reinstated, after being terminated due to non-payment of Dues, are assessed according to Policy #15 Delinquent Dues, Assessments and Fees, but are not required to attend the orientation class if lapse of membership has been less than one year.

## POLICY 17

### VOTING BY THE BOARD OF DIRECTORS

Any decision-making vote by the Board of Directors shall be confined to regularly scheduled Board of Directors' meetings, an emergency meeting, or by electronic transmission of pending subject matter. A quorum constitutes 2/3 of the **Board (9 Members)**.

## POLICY 18

### DEFENDING OFFICERS & DIRECTORS IN LEGAL ACTIONS, CONFLICT OF INTEREST

The Springfield Board of REALTORS® will provide defense for the Officers and Directors who are involved in legal actions as a result of Board business and operations.

A member of the SBOR decision making body has a conflict of interest whenever that member:

- (1) is a principle, partner, or corporate officer of a business providing, or being considered as a provider of, products or services to SBOR; or
- (2) serves on the board of directors of SBOR unless the individual's only relationship to SBOR is service as NAR's representative on such board; or
- (3) holds an ownership interest of more than one percent of SBOR

Members with a conflict of Interest must immediately disclose such conflict of interest prior to participating in any discussions or vote of an SBOR decision making body that pertains to SBOR. Such members may not participate in any decisions related to SBOR other than to respond to questions asked of them by other members of the body. A member may not vote on any matter in which the member has a conflict of interest.

## POLICY 19

### BOARD OF DIRECTORS' MEETING INFORMATION

The Executive Officer shall send by email the financial report, minutes of prior meeting and next meeting agenda to the Board of Directors at least three (3) days prior to each monthly meeting.

## POLICY 20

### COMMITTEE EXPENSES

Expenses incurred by a Board Committee **must be documented with a receipt**. Committee funds shall not be used for hotel, travel, mileage, or meals. Any monies spent by the Committee in excess of any amount budgeted must have prior approval by the Finance Committee.

## POLICY 21

### MEMBERSHIP ROSTER

The full membership roster will no longer be printed and distributed. The membership roster will be available online at [www.Springfieldbor.com](http://www.Springfieldbor.com), twice a year, when doing dues updates.

The Roster will be in PDF format and therefore be viewable & downloadable to everyone, including the public. The Roster will list Brokerages and Affiliates along with the information provided to the Executive Officer. The REALTOR members will be listed with the information provided to the Executive Officer.

## POLICY 22

### RESERVATION REFUNDS

When a person **registers for a function/seminar they must pay the required fee even if they fail to attend.** When a person pays the required fees to attend a function/seminar presented by the Springfield Board of REALTORS®, that **fee is non-refundable unless the Board office is notified by reservation deadline date.** Notification may be made by telephone or email.

## POLICY 23

### VIOLATIONS OF LICENSE LAW

All violations of the License Law will be referred to the Superintendent of the Ohio Division of Real Estate and Professional Licensing by the Board of Directors.

## POLICY 24

### REALTOR® STORE

All forms and contracts are to be sold to and used by members of the Springfield Board of REALTORS®. A member of another Board may not purchase the specific forms and contracts, which are the property of the Springfield Board of REALTORS®.

Members of other boards may purchase general REALTOR® store items such as lockboxes, open house signs, etc.

**All REALTOR® Store Invoices are due and payable within 30 days. Late fees will be assessed on REALTOR® Store invoices not paid within 30 days at an annual rate of 18% (1.5% per month).**

## Policy 25

### Lock boxes

At this time, the Springfield Board of REALTORS® sells manual lockboxes to its membership for their use. The following is the policy of the Board of Directors for sales agents in using lock boxes. All member brokers and sales agents agree to abide by these rules.

\* Cooperating brokers and sales licensees, whether functioning as sub-agents, dual agents, or buyer's broker/agent, must contact the listing broker to disclose their agency status and to make arrangements to show listed property and obtain showing instructions. (Lock box codes are a security issue. Codes should be changed regularly. Codes should **never** be given out to the public. **Never** give out another agent's lockbox code without listing broker/agent consent.)

\* The lock box code must not be given to anyone else by the showing agent. (The showing agent must replace the key in the lock box securely upon departure of the arranged showing. As professional courtesy, the showing agent should leave their business card and phone the listing agent with feedback from the showing.)

A sales agent or REALTOR should be reported to the Board office for violating this policy. **The Board office will notify the agent of the violation and the agent in violation will be charged a \$250 fine for the first violation. The fine will be doubled to \$500 if a second violation occurs.** If a third violation should occur, the Board of Directors will take other severe action which may include suspension of SBOR membership and the violation report to the WRIST Board for further action.

## POLICY 26

### PRIVACY & SECURITY

We recognize the importance of protecting the personal information you provide on the Web site owned and/or controlled by the Springfield Board of REALTORS. We maintain the following privacy and security policy:

1. We gather the following types of information needed to process your transactions, fulfill your requests, and maintain our membership records:

Contact information you provide (for example, your personal and business addresses, phone and fax numbers, firm affiliations, and titles).

Tracking information which our web server automatically recognizes each time you visit one of our sites or communicate with us by e-mail (for example: your domain name, your email address, and what pages you might visit; and

Information you volunteer, via applications or surveys (for example: education, designations, specialties, affiliations with other real estate organizations and general demographic data).

2. We use this information to:

Improve and customize the content and layout of our web site.

Notify you of relevant products and services.

Notify you of upcoming events and programs.

Track usage of our site.

3. We will not share, sell, or otherwise provide other information about you to third parties, except when required by law or valid legal process, or to protect the personal safety of our members or the public.

4. Credit information that you and credit authorizers provide when you make payments by credit card or electronic check for products, dues, or other services via our Ecommerce and/or credit card system will only be used to process the transactions you request. This information will be provided to and maintained by reputable credit reporting databases, but will never be sold, shared, or provided to other third parties.

5. We maintain security procedures and standards which we believe are as safe as today's technology permits. We test these procedures and modify them regularly as new technologies become feasible.

6. Please make sure your personal information is updated by logging into your Growth Zone profile. The following is the member log in link for Growth Zone:

<https://springfieldboardofrealtorsoh.growthzoneapp.com/a/MIC/Login>

## Cyber Security

### **1. Purpose**

The purpose of this Cybersecurity Policy is to protect the sensitive data and digital assets of SBOR from cybersecurity threats, unauthorized access, and data breaches. This policy ensures compliance with relevant regulations and promotes a culture of cybersecurity awareness.

### **2. Scope**

This policy applies to all employees, board members, contractors, and any third-party vendors who have access to the organization's digital systems, data, and electronic communication channels.

### **3. Data Protection & Access Control**

Access to confidential information is restricted to authorized personnel only.

Multi-factor authentication (MFA) must be implemented for all critical systems.

All employees and board members must use strong, unique passwords and update them regularly.

Regular access reviews must be conducted to ensure only necessary personnel have access to critical data.

### **4. Email & Communication Security**

Employees must avoid opening suspicious emails, links, or attachments from unknown sources.

Official communication should be conducted through approved channels only.

Sensitive data must not be transmitted via unsecured email or messaging services.

## **5. Network Security & Device Management**

All organizational devices must have up-to-date antivirus and endpoint security solutions installed.

Personal devices used for organizational work must meet security requirements.

## **6. Incident Response & Reporting**

Any cybersecurity incidents, including suspected breaches, phishing attempts, or malware infections, must be reported immediately to the AE and/or President.

Incident reports should be documented and reviewed for continuous improvement.

## **7. Data Backup & Retention**

Regular backups of critical data must be performed and stored securely.

Backups must be encrypted and tested periodically for data integrity.

Data retention policies should comply with legal and regulatory requirements.

## **8. Employee Training & Awareness**

Cybersecurity training must be provided to all employees and board members annually.

Employees must be aware of social engineering threats such as phishing, vishing, and impersonation attacks.

## **9. Third-Party Vendor Security**

Vendors and contractors with access to the organization's systems must comply with cybersecurity best practices.

Security assessments must be conducted before granting system access to third parties.

## **10. Compliance & Review**

SBOR must comply with all applicable laws, regulations, and industry standards related to data protection and cybersecurity.

# **POLICY 27**

## **FINANCIAL PROCEDURES POLICY**

It is the policy of the Springfield Board of REALTORS to maintain financial controls and procedures in order for the Board of Directors and the Executive Officer to carry out the financial business of the Board in the most prudent and efficient manner, allowing flexibility for unpredicted events. The Board recognizes the need for procedures for safe, effective, and reasonable controls regarding the financial process to assure the most accurate and ethical handling of the financial affairs of the Springfield Board of REALTORS.

The Financial Procedures Policy shall be approved by the Board of Directors and shall be reviewed and revised annually or upon recommendations of the Executive Committee, the executive officer, or the accountant for the Board.

#### ***BUDGET:***

The budget for the Springfield Board of Realtors is based on a zero-bottom line. The budgeting process for the next calendar year shall begin on November 1. The Financial Committee shall review the ending figures for the prior year and the figures to date for the current year in order to recommend the estimated income and expenses for the coming year. **The Treasurer shall schedule a finance committee meeting in November** to review a proposed budget with a zero-bottom line. The proposed budget for the coming year shall be reviewed, finalized, and approved in **February** by the Board of Directors. Financial reports will be made public to the members no later than April. **Any membership dues increase necessary to balance the budget shall be recommended to the SBOR directors by the finance committee.** The final decision regarding any membership dues increase shall be the responsibility of the SBOR Board of Directors.

**The Treasurer, Executive Officer and the finance committee** shall be responsible for monitoring the finances of the organization monthly and for recommendations to the Board of Directors as needed.

#### ***RECEIPT AND PROCESSING OF MONEY:***

Daily mail shall be opened by the Executive Officer. All monies shall be processed daily, entered into the accounting system, and prepared for deposit. Copies of all deposits are to be maintained in a secure place in the Executive Officer's office and reconciled with the bank(s) on a monthly basis. Credit card charges are to be sent electronically to the bank or the credit card firm daily and records shall be maintained along with the bank deposit records.

#### ***PURCHASES FOR THE SPRINGFIELD BOARD OF REALTORS:***

There shall be a company credit card for use by the Executive Officer for the purchase of goods and services. Personal charges are not allowed on the SBOR credit card. Approved expenses of officers of the Board may be paid with the Board credit card. All expenditures on the Board credit card shall be verified by receipts, recorded into the accounting system, and reported to the Board of Directors.

#### ***BANK RECONCILIATION PROCEDURES:***

All bank statements, credit card statements and cancelled checks shall be reconciled upon receipt by the Executive Officer. Monthly reconciliations shall be processed into a financial report to be presented at the monthly meeting of the SBOR Board of Directors.

#### ***ACCOUNTS PAYABLE:***

Weekly processing of accounts payable shall be completed by the Executive Officer. All accounts payable shall be encoded for payment with the proper accounting numbers and paid monthly. **All checks require two signatures. Authorized signatures shall be those of the Executive Officer, President, President-elect, and Treasurer.** The person receiving the check shall not be one of the two signatures.

#### ***RPAC FINANCIAL PROCEDURES:***

Federal law requires payments to the RPAC fund of \$50.00 or more to be deposited within 10 days of the date of donation. All donations are to be recorded as either corporate or personal, and donor names and amounts given shall be recorded accurately. RPAC funds must be processed and recorded accurately, separately and prepared for reports as required to the OR and the NAR. RPAC contributions included in member dues payments shall be deposited into a separate RPAC account with records maintained defining whether the donation is corporate or personal, and listing the names of all contributors and amounts donated.

All RPAC donations shall be reported to the RPAC chairperson and the SBOR Board of Directors.

#### ***FIXED ASSETS:***

Fixed assets shall be capitalized at historical cost and depreciated by use of the straight-line method of depreciation over the estimated useful life of the assets which range from three years for computers, five years for furniture and equipment to thirty-one- and one-half years for the building. The accountant shall maintain an inventory of all fixed assets valued at \$100 or more.

#### ***CONTRACTS AND SERVICE AGREEMENTS:***

All major and/or multi-year contracts and service agreements must be reviewed by the Board attorney prior to signing or entering into agreements in the name of the Springfield Board of Realtors. All agreements must be accepted by the SBOR Board of Directors and signed by the Executive Officer.

#### ***INVESTMENT POLICY:***

The Investment Policy of the Springfield Board of Realtors is administered by the Board of Directors.

The Executive Officer and the Treasurer have joint authority for day-to-day investment decisions, based on the following guidelines:

**SHORT TERM INVESTMENTS** are funds to be invested in nationally recognized Money Funds and Treasury Notes and C.D.s.

**MEDIUM TERM INVESTMENTS** are funds to be invested in medium to long term C.D.s.

#### ***RESERVE POLICY:***

It is the policy of the Springfield Board of Realtors to maintain sufficient funds in reserve accounts to allow the Executive Officer and the Board of Directors to manage the finances of the organization prudently and with the flexibility necessary to accommodate unpredicted changes in income levels.

In accordance with ASAE guidelines, the Board of Directors should maintain between 25% and 100% of its annual operating budget in reserve accounts. With this guideline in mind, the Springfield Board of REALTORS will maintain a minimum of 50% of annual income.

# Credit Card Use Policy

## **PURPOSE:**

The purpose of this policy is to establish clear guidelines and internal controls for the use of the Springfield Board of REALTORS® (“SBOR”) credit card. This policy ensures that all charges are for legitimate Board business, properly authorized, documented, and reviewed in accordance with sound financial management practices.

## **SCOPE:**

This policy applies to all officers, employees, and volunteers who may initiate or authorize purchases made with the SBOR credit card. The card is issued solely for official SBOR business purposes and may not be used for any personal, political, or non-Board expenditures.

## **CARD ISSUANCE AND CUSTODY:**

Only one SBOR credit card shall be issued and maintained in the name of the Association Executive (AE). The card remains the property of SBOR and must be surrendered upon request, termination, or change in position. The card shall be physically secured in the SBOR office when not in use.

## **AUTHORIZED USE:**

The SBOR credit card may be used only for pre-approved business expenses, including but not limited to:

Travel, lodging, and registration for NAR, OAR, or other Board-approved meetings and conferences.  
Office or program-related supplies and materials.  
Association dues, fees, or vendor payments approved in advance.

## **PROHIBITED USES INCLUDE:**

Personal purchases or cash advances.  
Alcoholic beverages unless part of a Board-approved event.  
Fuel for personal vehicles.  
Any expense not directly related to SBOR business.

## **SPENDING LIMITS:**

The per-transaction limit shall not exceed \$200.00 without prior written approval from the President or Treasurer. Any single purchase or trip estimate exceeding these limits must receive written pre-approval from the Executive Committee or Board of Directors.

## **APPROVAL AND RECONCILIATION PROCESS:**

### **Pre-Approval**

The AE must obtain written (email acceptable) approval from the President or Treasurer for all travel, lodging, or registrations prior to purchase. Board minutes are acceptable.

### **Documentation**

An itemized receipt and brief explanation of the business purpose must accompany every transaction.

Receipts must be submitted to the Treasurer or designated reviewer within five (5) business days of the transaction.

### **Monthly Review**

The AE shall reconcile all charges against the monthly statement.

The Treasurer shall review all receipts, verify business purposes, and approve the reconciliation before payment is issued.

The approved statement shall be signed and filed in SBOR's financial records.

#### Payment

The AE may prepare the payment, and email statements with receipts to the Treasurer and President to authorize final payment to the credit card company.

#### Missing or Improper Documentation

If a receipt is lost or unavailable, the AE must complete a Missing Receipt Form describing:

Date and nature of the expense.

Vendor.

Reason for missing receipt; and

certification that the charge was for official Board business.

Repeated instances of missing documentation may result in revocation of card privileges or disciplinary action.

#### Misuse and Disciplinary Action

Unauthorized or inappropriate use of the SBOR credit card is grounds for disciplinary action up to and including termination of employment, reimbursement of charges, or legal action. Any suspected misuse shall be reported to the Executive Committee and may be referred for external investigation if warranted.

#### Oversight and Audit

The Finance Committee shall review all credit card activity at least quarterly.

Credit card statements and supporting documentation are subject to annual review by SBOR's independent auditor.

All records shall be retained for a minimum of seven (7) years in accordance with SBOR's record retention policy.

#### Policy Review and Amendments

This policy shall be reviewed annually by the Finance Committee and updated as needed. Any amendments must be approved by the Board of Directors.

#### Acknowledgment

The AE shall sign the following acknowledgment upon receipt of the card and at each policy update:

I acknowledge that I have received, read, and understand the Springfield Board of REALTORS® Credit Card Use Policy and agree to adhere to all requirements herein. I understand that misuse or failure to comply may result in disciplinary or legal action.

## POLICY 28

### OMBUDSMAN PROCESS

The definition of Ombudsman for REALTORS – *The Ombudsman Program in its simplest definition is informal telephone mediation. In some cases, it can address and solve minor complaints from the public. It can also solve inter-REALTOR conflicts before they become serious problems. Like a mediator, an Ombudsman helps parties find solutions.*

#### **What is the SBOR Ombudsman Program?**

Ombudsman Procedures adopted by Springfield Board of Realtors (SBOR) are intended to provide enhanced communications and initial problem-solving capacity to the professional standards process. SBOR is charged with the responsibility of receiving and resolving ethics complaints, and hearing arbitration disputes filed against its members. An Ombudsman can respond to general questions regarding real estate practices, transaction details, ethical practice, and enforcement issues.

#### **How Will You Know to Ask for an Ombudsman?**

Many complaints do not expressly allege violations of specific articles of the REALTOR Code of Ethics and may not concern conduct related to the Code. Some complaints are transaction, technical, and procedural questions that can be readily responded to. Some complaints are due strictly to lack of communication. These types of issues may be appropriate for the Ombudsman program.

#### **What are REALTOR Ombudsman Benefits**

You can receive non-judgmental real estate related information in a timely manner and at no cost.

#### **What the Ombudsmen May Do**

- Ascertain complainant's desired outcome (revocation of license, sanctions, apology, money, etc.)
- Answer questions concerning transactional, technical, and procedural or practical matters.
- Answer questions pertaining to ethics or arbitration but shall be clear that such an answer is not to be construed as a decision on the merits.
- Explain possible avenues for resolutions and answer general questions.
- Contact members who are named to obtain information to provide an informed response.
- Arrange a meeting of the parties to facilitate a mutually acceptable resolution as necessary.

#### **What the Ombudsmen will NOT do**

- Adjudicate/make the final decision.
- Give legal advice.
- Determine who is right or wrong.
- Disclose communications – Process is CONFIDENTIAL
- Make any written record of discussions and/or agreements.

#### **Who are the Ombudsmen?**

REALTORS appointed to be Ombudsmen will be the past 3 Presidents of SBOR and meet:

- Meet criteria for extensive real estate experience.
- Demonstrate objectivity.

## **"OMBUDSMAN LOG"**

Complainant(s): \_\_\_\_\_ Date: \_\_\_\_\_

Relationship to Transaction: \_\_\_\_\_

(i.e., buyer, seller, landlord, tenant, broker, agent)

Address: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

Potential Respondent(s): \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

Potential Respondent(s) Broker: \_\_\_\_\_

Address: \_\_\_\_\_

- Possess extensive knowledge of the REALOTR Code of Ethics and best practices.

### **How Does the Ombudsman Process Work?**

The SBOR Executive Officer will assemble information to be sent to the SBOR Ombudsman via e-mail. This information may include:

- Name, phone number and role of the complainant (buyer, seller, agent, broker, etc.)
- Name, phone number, and role of the respondent (buyer, seller, agent, broker, etc.)
- If the respondent is an agent, the name of principal and/or managing broker

The SBOR Ombudsman will make all necessary contacts in an attempt to resolve the complaint. If the Ombudsman efforts are effective, there is no further action necessary. If the efforts are not successful in resolving the Complainant's issues, the Ombudsman will advise the Complainant about the next step(s) in the complainant process.



SPRINGFIELD BOARD OF REALTORS

Springfield Board of Realtors

605 E High St  
Springfield, OH 45505  
937-323-6489

Email: [sborohio605@gmail.com](mailto:sborohio605@gmail.com)  Acknowledge receipt of this log to the Executive Officer.

- Call complainant within 48 hours of receipt of this log. Two to Three attempts to reach the parties should be made prior to closing this file.
- Email completed log to the Executive Officer within 48 hours of closing this file.
- After all materials related to this matter are emailed to the Executive Officer, shred these materials, or return them to the Executive Officer for proper disposal.

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

*"Hello, my name is \_\_\_\_\_, and I am a volunteer ombudsman calling on behalf of the Springfield Board of REALTORS®. As an Ombudsman, I cannot make a decision in your case, however, I can provide you with some assistance."*

(Present basic explanation of what ombudsman is/ is not.) – My role as an ombudsman is primarily one of communication and conciliation, not adjudication. I do not determine whether ethics violations have occurred, rather I anticipate, identify, and resolve misunderstandings and disagreements before matters ripen into disputes and possible charges of unethical conduct.

I understand that you have concerns regarding one of our members. If you would like to share your concerns with me, I might be able to suggest some possible avenues you may pursue to reach a resolution for your situation.

Complainants Concerns: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Ascertain complainant's desired outcome (For example, is the complainant seeking revocation of license,

sanctions, apology, money, etc.) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If REALTOR® respondent is called...explain who you are and communicate the complainant's concerns and desired outcome. Determine if REALTOR® respondent is willing to call complainant to try to resolve. If so, give them their name and phone number.

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

- REALTOR® respondent WILL contact complainant
- Broker of REALTOR respondent WILL contact complainant
- REALTOR® respondent WILL NOT contact complainant

Contact complainant to communicate REALTOR® respondent's response.

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

If REALTOR® respondent is to contact complainant, follow up with complainant (in approximately one week) to determine if matter has been resolved. Date Contacted: \_\_\_\_\_

Parties:

Complainant(s): \_\_\_\_\_  
Respondent(s): \_\_\_\_\_

- Resolution was reached through ombudsman services. No further action required.
- No resolution was reached through ombudsman services.
- Please mail the complainant an  Ethics  Arbitration packet.

General category complaint was about (Please check all that apply):

- Repairs
- Would not present contract
- No copies of documents
- Lack of communication
- Listing Agreement
- Advertising
- Inspection Reports

- Affiliation disclosures
- Earnest money
- Mold Issue
- Contract
- Agency
- Procuring cause
- Commission dispute
- Property Management
- Discrimination
- Unauthorized practice of law
- Inter-office dispute
- Unprofessional (rude, irresponsible, inconsiderate, etc.)
- Public trust (fraud, willful discrimination, misappropriation of funds/ property)
- Other \_\_\_\_\_

Ombudsman Name (please print) \_\_\_\_\_ Date \_\_\_\_\_

Ombudsman Signature \_\_\_\_\_

## POLICY 29

### STEPS TO LEADERSHIP

Purpose is to have guidelines for directors and officers. To have working knowledge of the board, its function and to be able to serve the membership.

#### *To serve on the Board of Directors*

1. Attend SBOR events and meetings
2. Participate in RPAC – Fair Share
3. Serve on a committee and be engaged
4. Involved in your community
5. A Member for 2 Years
6. Have served in a leadership position in another group/organization

#### *To serve as an Officer:*

The above and to be serving on current board or a past board member or past officer.

May be considered if served in like position on another local board

## Policy 30

### Springfield Board of REALTOR® Association Executive Officer

#### Job Description

**Title:** Association Executive Officer

**Reports To:** President and the Board of Directors

**Position Description:** The Association Executive (AE) is responsible to the Board of Directors for the effective administration of the Springfield Board of Realtors ®. The AE recommends and participates in formulating the organization's mission, goals, objectives, and related policies.

#### **Essential Functions:**

- Serves as ex-officio, non-voting member of the Board of Directors and all standing Committees of the Springfield Board of REALTORS ®
- Attends all meetings of the Membership and Board of Directors. Assists in preparation of agendas and follow through on implementation of decisions and policies.
- Executes all decisions of the Board of Directors except otherwise assigned.
- Ensure that the Board of Directors receives all recommendations or mandates from the National Association of Realtors® so that the organization stays fully compliant with the OR and National Realtor® Associations.
- Oversees the activities of all standing Committees to ensure that they are operating within their assigned responsibilities.  
Ensures that Committee decisions and recommendations are submitted to the Board of Directors for review and approval.
- Responsible for all day-to-day activities of the organization. Manages the daily operations of SBOR to maximize efficiency and the quality of work to provide a consistently high level of service.
- Works with the Finance Committee and the Board of Directors to provide overall financial viability of the SBOR and to prepare an annual budget.
- Works with the Organization's CPA to assure proper and timely preparation of financial reports and tax filings.
- Ensures that the policies, programs, and activities of the SBOR are properly communicated to the members through mailings, newsletters, online communication, meetings, and events.
- Ensures that dues and fees are collected and that services are terminated for non-payment in accordance with the Organization's Bylaws, published policies and procedures.
- Ensures that all transactions are handled in a timely manner, including Accounts Receivables, Accounts Payable, deposits, and reconciliation of bank statements and preparation of Financial Reports monthly for the Board of Directors.

- Plans educational programs with the Education Committee to advance the professional, technical, and managerial skills of the membership, within budgetary & program objectives
- Attends all local meetings, OR meetings, Professional Standards Seminar, Leadership Conference and AE Seminars
- Ensures that proper files and membership records are maintained and secured.
- Performs a Secretarial function for the Organization, maintaining official minutes, providing security for all files, legal and historical documents, financials, membership, and mailing list.
- Acts as a liaison between the Board of Directors and the Organization's Attorney.
- Ensures that the Springfield Board of Realtors ® is operated in accordance with published Policies, Bylaws and Regulations

This job description is not intended to be all-inclusive, and employee will also perform other reasonably related duties as assigned by the president or the Board of Directors required. This organization reserves the right to revise or change job duties and responsibilities as the need arises. This job description does not constitute a written or implied contract of employment.

## AE Evaluation Form

The purpose of this evaluation is to assess the performance of the Springfield Board of REALTORS® Association Executive by rating a level of proficiency as determined by the consideration of the following competency factors.

Please score each item from 1 (low) to 3 (high), according to the following scale.

**3 Exceeds expectations:** Superior performance that consistently exceeds expectations. Demonstration of measurable contributions to Association significantly above what is expected of EO.

**2 Meets expectations:** Performance consistently meets and sometimes exceeds expectations. Contributes to Association to the extent expected of a valuable EO.

**1 Does not meet expectations:** Performance may meet some expectations for the position, but improvement is necessary to move expectations to a satisfactory level.

**0 Not applicable**

Section	Evaluator			Average	
	1	2	3	Total	(÷ by 3)
<b>I. Communication</b>					
A. Communicates to the Board of Directors and the Executive Committee in a timely manner on the conditions and operations of the Association and on all important factors influencing the Association.					
B. Implements the communication plans of the Association.					
Section	Evaluator			Average	
	1	2	3	Total	(÷ by 3)
<b>II. Financial</b>					
A. Creates and presents an annual budget to Finance Committee to present to the Board of Directors based upon the strategic goals and objectives set forth in the current Strategic Plan of the Association.					
B. Ensures the preparation of accurate and timely financial statements for the Board					
C. Manages and administers the budget within the policies and directives of the Board.					

D. Works with the Association's contracted certified public accountant in the preparation of the annual financial review.				
E. Responsible for the timely filing of tax returns for the Association as required by the IRS and the State.				N/A

Section	Evaluator			Average
	1	2	3	Total (÷ by 3)
<b>III. Operations</b>				
A. Works with volunteer leadership to develop a multi-year strategic plan.				
B. Makes recommendations to the board for revisions to policies, procedures, rules, regulations, and guidelines established by the Board of Directors.				
C. Executes all decisions of the Board of Directors except when directors specifically make other assignments.				
D. Develops specific administrative policies, procedures, and rules & regulations to implement the general policies of the Board of Directors.				
E. Maintains policies, procedures, rules, and regulations and keeps records to ensure they are met to maintain the highest quality of member satisfaction.				
F. Meets necessary deadlines, timelines, and directives to ensure compliance with the state and national associations of REALTORS®				
G. Oversees all operations, programs & activities of the board within budgeted guidelines.				
H. Provides the necessary liaison support to all task forces and committees, ensuring that the committee decisions and recommendations are communicated and submitted to the Board of Directors.				
I. Executes all contracts and commitments on behalf of the Association of REALTORS® within established policies; assuring fulfillment and compliance of contractual obligations on behalf of the Association with respective service providers and third-party administrators.				
J. Ensures that all governing documents and policies are current and followed and that the Association is operating within all established policies and procedures.				
K. Responsible for the on-going creation, implementation, and evaluation of all programs, products, and services of the Association in accordance with the Strategic, Operational Plans and NAR Core Compliance.				
L. Ensure that Core Compliance is completed and submitted.				
M. Attends State meetings, AE Institute and AE workshops				
N. Ensures attorneys, accountants, and other professionals are retained to assist the organization and reports to the Board of Directors when needed.				
O. Ensures a succession plan is in place for the Association.				
P. Acts as direct liaison with the local Boards, other state Associations, and the National Association.				
Q. Maintains a working relationship with the Real Estate related agencies.				

Section	Evaluator	Average		
		Total	(÷ by 3)	
<b>IV. Leadership</b>		1	2	3
A. Provides support to committees and the Board of Directors in all areas				
B. Has working knowledge of how local boards of REALTORS®, the state and National Association of REALTORS®, real estate agents and brokers operate				
C. Attends Board of Directors' meetings, attends membership meetings, ensures materials are prepared in advance of meetings and members are well informed of meeting date, time, and location.				
D. Holds an orientation quarterly for New Members (or as needed)				
<b>Section</b>				
<b>VI. Legislative &amp; Legal Advocacy</b>	1	2	3	
A. Ensures all members are aware of Call to Actions sent by state and national				N/A
B. Assists the RPAC committee with fundraisers and grants				
<b>Section</b>				
<b>VII. Evaluator's Remarks</b>				

<b>Section</b>
<b>VII. Future Goals to be Achieved by next Review</b>
Try to get more (different) affiliates involved. See if we can hold an affiliate appreciation event.
<b>Section</b>
<b>VIII. Future Long Term Goals</b>
Continue to bring value to our membership. Have more involvement with the community

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<b>Signature of Evaluator</b>	<b>Evaluator's Name</b>	<b>Date</b>
-------------------------------	-------------------------	-------------

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<b>Signature of AE</b>	<b>AE's Name</b>	<b>Date</b>
------------------------	------------------	-------------

Signature does not necessarily indicate agreement with the evaluation, only an acknowledgement of the review.

**Springfield Board of REALTORS®**

**Record Retention Policy**

<u>Type of Record</u>	<u>Retention Period</u>
Accident Reports & Claims	7 Years
Basic Corporate Documents (including bylaws, charter, Annual financial operation)	Permanently
Complaints	
Correspondence without further processing	1 Year
Financial Documents	
Accounting back ups	7 Years
Audits	Permanently
Billing & Cash Receipts Record	7 Years
Canceled Checks	7 Years
Chart of Accounts	Permanently
Depreciation Schedules	Permanently
Financial Statements	7 Years
Insurance	
Policies (expired)	3 years after expire
Claims	Permanently
Legal Documents	
Contracts & Leases (expired)	6 years after expire
Deeds	Permanently
Lawsuits (settled)	7 years after settle
Membership Applications	3 Years
Payroll	
Earning Records	4 Years
Pension Information	Permanently
Personnel	
Applications	3 Years

# Springfield Board of REALTORS Association Executive Succession Plan Policy

This policy is to establish a succession should the Association Executive (AE) position of the Springfield Board of Realtors become vacant or the Executive Committee/Board of Directors has been notified of a pending vacancy in the position. There are three scenarios covered under this policy:

- Temporary Absence
- Unplanned Departure
- Planned Departure

In addition, it provides the details and execution of the process to fill the vacancy.

This succession plan will guide the organization through the transition and gives the proper authority to the individuals mentioned here within to carry out this policy.

Option for Review policy: This plan should be presented annually as part of the Policy review committee. At any time prior to that should a change in employment of any person deemed in the line of succession occur, the AE shall immediately amend this document and present it to the Executive Committee or Board of Directors at their next scheduled meeting.

## Temporary Absence: Temporary AE Succession Plan

*(see Appendix I & Appendix II)*

In the event of a temporary AE absence either through temporary incapacitation or a leave of absence that is 30 days or as deemed necessary by the Board of Directors to enact the Temporary AE Succession Plan.

Neither the Executive Committee, Board of Directors nor any officer or director is eligible to fill the role as Interim AE.

Upon any action of the Executive Committee, the entire Board of Directors shall be immediately notified.

The Interim AE shall ensure that the Association continues to operate with minimal disruption and that all organizational commitments previously made are adequately executed. The Interim AE shall have the full power of the bylaws and policies of the Springfield Board of Realtors and its subsidiaries.

The Board has the option to enter into an Administrative contract with the Ohio Realtors®.

## APPENDIX I: Temporary AE Absence Succession Guidance

In addition to executing the Temporary Absence AE Succession Plan, the following guidance is provided to give the Board of Directors a path to follow to ensure all steps are met.

To do immediately (within 24 hours):

- Immediately, the President shall announce who is the Interim AE according to the policy and meet with the identified person and go over this guidance with them;
- The President should consult with outside counsel to advise on personnel issues regarding disability insurance, etc.;

Announcement of Temporary Absence

- 1) Circumstances of departure, if appropriate to share
- 2) Appointment of Interim AE or person temporarily responsible until AE has returned
- 3) President in concert with the interim AE shall provide information to members, or other stakeholders on the topic;
- 4) When and how additional information will be provided;
- 5) Availability of counseling or support services, if necessary.

To do within the first 2 weeks:

- The President should convene a meeting of the Board of Directors to make any recommendations for temporary or bonus pay for the Interim AE.

## Unplanned Departure: Emergency AE Succession Plan

*(see Appendix II: Emergency AE Succession Plan Guidance)*

Circumstances that trigger implementation of the Emergency Succession Plan:

- Death of AE;
- AE becomes permanently incapacitated;
- AE's employment ends and its effective date is not enough time to implement the Planned Departure Succession Plan.

The order of succession shall be the same as in a temporary absence situation following the checklist in Appendix I of this policy.

## APPENDIX II: Emergency AE Succession Plan Guidance

In addition to executing the Emergency AE Succession Plan, the following guidance is provided to the Springfield Board of Realtors as a path to follow to ensure all steps are met.

To do immediately (within 24 hours):

- Immediately, the President shall meet with the Interim AE according to the policy and go over this guidance with them.
- The President shall schedule a conference call or an in-person meeting with the Executive Committee or Board of Directors. The Association's Legal Counsel and Interim AE shall be invited to the meeting. At that meeting, the President shall:
  - a. Go over the Emergency AE Succession Plan Policy.
  - b. Review the meeting the President had with who is now the Interim AE
  - c. Review Emergency AE Operation Plan Policy and set in motion plans to execute.
- President should consult with outside expertise to advise on personnel issues regarding disability insurance, etc.

IF AE was terminated, the following steps should be taken immediately by the Executive Committee

- Secure cash and checks

- Secure employee files
- Secure contracts
- Change security codes, passwords and combinations
- Change locks
- Safeguard personal property of departing AE
- Cancel or change credit cards and authorization cards
- Change signature cards at banking institutions
- Executive Committee has the option to change/review the interim appointee in a termination.

To do within the first 2 weeks:

- The President will appoint members of the AE Search Committee and will name the chairman of the AE Search Committee; (see AE Search Committee Guidelines)
- The President should convene a meeting of the Executive Committee/Board of Directors to: discuss any recommendations to the Board of Directors for temporary or bonus pay for the Interim AE; conduct a brief assessment of organizational strengths, weaknesses, opportunities and threats to identify priority issues that may need to be addressed during the transition process.
- AE Search Committee Chair calls initial meeting of the committee and the committee considers the following:
  - a. Establish a timeline for the process;
  - b. Provide updates to the Board of Directors and the members as to the timeline and the process decided upon in a timely and transparent manner.
  - c. Identify attributes and characteristics that are needed in the next AE.

# Planned Departure: Planned Departure AE Succession Plan

*(see Appendix III: Planned Departure AE Succession Plan Guidance Appendix)*

Circumstances that trigger the implementation of this Planned Departure Succession Plan:

- AE announces retirement or departure at a date the Planned Departure Succession Plan can be implemented;
- AE's employment ends and its effective date is enough time to implement the Planned Departure Succession Plan.

In the event that one of the circumstances occurs that triggers the Planned Departure Succession Plan, the Springfield Board of Realtors should immediately convene. If timeline provides a gap between when the AE leaves and a new one is in place, the Executive Committee cannot leave the position vacant or name the Executive Committee or the current or incoming Leadership Team as the Interim AE.

Upon any action of the Springfield Board of Realtors, the entire Board of Directors shall be immediately notified.

## Appendix III: Planned Departure AE Succession Plan

In addition to executing the Planned AE Succession Plan, the following guidance is provided to give the President, and the Board of Directors a path to follow to ensure all steps are met.

To do immediately (within 24 hours):

- The President and AE should meet and go over the Planned Departure AE Succession Policy and Guidance and determine if there will be any gaps between the planned departure date and when it is conceivable to have a new AE in place.
- If there is an anticipated gap, the Interim AE as outlined by policy should be notified and brought into discussions

To do within the first 2 weeks:

- The President will appoint members of the AE Search Committee and will name the chairman of the AE Search Committee;
- The President should convene a meeting of the Board of Directors to: discuss any recommendations to the Board of Directors for temporary or bonus pay for the Interim AE; conduct a brief assessment of organizational strengths, weaknesses, opportunities and threats to identify priority issues that may need to be addressed during the transition process.
- AE Search Committee Chair calls initial meeting of the committee and the committee considers the following:
  - a. Establish a timeline for the process;
  - b. The outgoing AE should assist as much as the Search Committee wishes them to participate.
  - c. Identify attributes and characteristics that are needed in the next AE.

# Springfield Association AE Search Committee

Upon either an Unplanned Departure or a Planned Departure, a AE Search Committee should immediately be appointed. This committee shall have the authority to compile and recommend a process and budget to the Springfield Board of Realtors and the Board of Directors for approval to fill the vacant position. This should be done prior to the next scheduled Board of Directors meeting or by a special meeting to address the matter.

The Search Committee shall be comprised of (suggested options):

- Current Leadership Team (President, President-elect, Treasurer)
- Two (2) Past Presidents
- Two (2) At-large appointments

If any member of the Leadership Team should not wish to or are unable to serve, then the President would appoint a replacement member. The role of the President in this policy shall be the current year's President. The meetings of the AE Search Committee shall be confidential and are closed to only the members of the committee.

Option:

The Search Committee shall have the power to extend an offer to a AE Candidate and enter into a pre-employment agreement, within financial parameters established by the Springfield Board of Realtors Board of Directors.

## Search Committee Guidelines:

- There should always be clear consensus on the approval of a candidate. If the vote is split, the Search Committee should then reconsider their choice of candidate.
- The Search Committee shall have the power to extend an offer to an AE Candidate and enter into a pre-employment agreement, within financial parameters established by the Springfield Board of Realtors Board of Directors.
- Optional: A national search will be conducted for the AE vacancy. Internal candidates will need to apply and will be required to go through the same search process as all other candidates. The Springfield Board of Realtors membership will be notified when the search begins.
- The Search Committee will manage all aspects of the search, including hiring a search firm to assist, reviewing resumes, interviewing candidates, and planning for staff opportunities to meet candidates, as applicable and appropriate.
- The meetings of the AE Search Committee shall be closed to only the members of the committee. All meeting discussions, documentation, etc. of the Search Committee are confidential.

## Duties of the Interim AE

The Interim AE shall ensure that the organization continues to operate without disruption and that all prior commitments are appropriately executed, including but not limited to: any speaking engagements; financial or contractual obligations; reports, licenses, tax returns, certifications, and membership renewals; and any other obligations to any creditors and other stakeholders.

The Interim AE shall have the same authority in decision-making and independent action as the AE, with the following exceptions:

- The Interim AE may not initiate new operational contract expenditures more than \$500 that were not previously approved by the Springfield Board of Directors or AE

- If new hiring processes, operational expenditures more than \$500 are deemed critical to effective functioning or business interests, the Interim AE may seek approval from the Leadership Team to initiate them. The Interim AE with approval of the Leadership Team may then authorize new operational expenditures in excess of \$500.

## Monthly Duties of the AE

### January

- \_\_\_\_ Ohio Edison – Online
- \_\_\_\_ Columbia Gas – Online
- \_\_\_\_ City of Spfld Utilities
- \_\_\_\_ Spectrum
- \_\_\_\_ Credit Card
- \_\_\_\_ ADT
- \_\_\_\_ Contact nonpayment people (twice per month)
- \_\_\_\_ Sales Tax due (by Jan. 20) Gateway
- \_\_\_\_ Get Banners Made
- \_\_\_\_ All Chair Committee meeting w Pres
- \_\_\_\_ Make sure a CE is scheduled for Spring
- \_\_\_\_ On Common Grounds (by April 5)
- \_\_\_\_ Sign Confidentiality at BOD meeting

### February

- \_\_\_\_ Ohio Edison – Online
- \_\_\_\_ Columbia Gas – Online
- \_\_\_\_ City of Spfld Utilities
- \_\_\_\_ Spectrum
- \_\_\_\_ Credit Card
- \_\_\_\_ ADT
- \_\_\_\_ Contact nonpayment people (twice per month)
- \_\_\_\_ Pay OR, NAR, RPAC for Cash & Checks (by Feb 21)
- \_\_\_\_ Finance Meeting – Finalize Budget
- \_\_\_\_ Blair Plumbing (back flow) 937-342-8585
- \_\_\_\_ Work on RPAC Grant
- \_\_\_\_ Check Unpaid Report
- \_\_\_\_ Membership Meeting

### March

- \_\_\_\_ Ohio Edison – Online
- \_\_\_\_ Columbia Gas – Online
- \_\_\_\_ City of Spfld Utilities
- \_\_\_\_ Spectrum
- \_\_\_\_ Credit Card
- \_\_\_\_ ADT
- \_\_\_\_ Check Unpaid Report
- \_\_\_\_ RPAC Grant Submitted
- \_\_\_\_ Realtor Safety Grant Opens
- \_\_\_\_ Perfect Temp Filter Check
- \_\_\_\_ Mark unpaid Affiliates inactive
- \_\_\_\_ Order RPAC forms from NAR
- \_\_\_\_ New Core Standard forms are released

List of delinquent members send to board by OR  
AEI Convention

April

- \_\_\_\_\_ Ohio Edison – Online
- \_\_\_\_\_ Columbia Gas – Online
- \_\_\_\_\_ City of Spfld Utilities
- \_\_\_\_\_ Spectrum
- \_\_\_\_\_ Credit Card
- \_\_\_\_\_ ADT
- \_\_\_\_\_ State Farm Insurance Renewal
- \_\_\_\_\_ Billboard Rental Check comes to us
- \_\_\_\_\_ Financial review by accountant
- \_\_\_\_\_ RPAC Kickoff Membership Meeting
- \_\_\_\_\_ On Common Grounds due (by the 5<sup>th</sup>)
- \_\_\_\_\_ Quarterly Finance meeting

May

- \_\_\_\_\_ Ohio Edison – Online
- \_\_\_\_\_ Columbia Gas – Online
- \_\_\_\_\_ City of Spfld Utilities
- \_\_\_\_\_ Spectrum
- \_\_\_\_\_ Credit Card
- \_\_\_\_\_ ADT
- \_\_\_\_\_ Local Dues Billing (by the 15<sup>th</sup>)
- \_\_\_\_\_ NAR Leadership Registration opens
- \_\_\_\_\_ NXT Registration Opens
- \_\_\_\_\_ Work on Core Standards
- \_\_\_\_\_ Apply for Entitlement Funds, if necessary

June

- \_\_\_\_\_ Ohio Edison – Online
- \_\_\_\_\_ Columbia Gas – Online
- \_\_\_\_\_ City of Spfld Utilities
- \_\_\_\_\_ Spectrum
- \_\_\_\_\_ Credit Card
- \_\_\_\_\_ ADT
- \_\_\_\_\_ Growth Zone Yearly Billing
- \_\_\_\_\_ Contact nonpayment people (twice per month)
- \_\_\_\_\_ Nominating Committee Named
- \_\_\_\_\_ Strategic Plan Review
- \_\_\_\_\_ TLT (Tomorrow Leaders Today Nominations open
- \_\_\_\_\_ Membership Meeting

\*nominating committee set by the Pres for director & executive committee vote at annual meeting

July

- \_\_\_\_\_ Ohio Edison – Online
- \_\_\_\_\_ Columbia Gas – Online
- \_\_\_\_\_ City of Spfld Utilities
- \_\_\_\_\_ Spectrum
- \_\_\_\_\_ Credit Card

- \_\_\_\_\_ ADT
- \_\_\_\_\_ Contact nonpayment people (twice per month)
- \_\_\_\_\_ Sales Tax Due (by July 23<sup>rd</sup>)
- \_\_\_\_\_ Quarterly Finance Meeting

Registration for OR Annual Convention Opens

Mid-year Core Standards Review

Check for President's Sales Club

Election Committee to be named in August

August

- \_\_\_\_\_ Ohio Edison – Online
- \_\_\_\_\_ Columbia Gas – Online
- \_\_\_\_\_ City of Spfld Utilities
- \_\_\_\_\_ Spectrum
- \_\_\_\_\_ Credit Card
- \_\_\_\_\_ ADT
- \_\_\_\_\_ Contact nonpayment people (twice per month)
- \_\_\_\_\_ Worker's Comp due
- \_\_\_\_\_ Award nominations go out (ROTY, ROOKIE, Affiliate, Lifetime)
- \_\_\_\_\_ NAR Leadership Chicago (AE/PE)

Election Committee Named

September

- \_\_\_\_\_ Ohio Edison – Online
- \_\_\_\_\_ Columbia Gas – Online
- \_\_\_\_\_ City of Spfld Utilities
- \_\_\_\_\_ Spectrum
- \_\_\_\_\_ Credit Card
- \_\_\_\_\_ ADT
- \_\_\_\_\_ Membership Meeting – Election of Officers
- \_\_\_\_\_ Bill affiliates
- \_\_\_\_\_ Make local nonpayment people inactive, contact WRIST
- \_\_\_\_\_ Award applications go out to those who were nominated for awards
- \_\_\_\_\_ Check GZ membership expiration dates
- \_\_\_\_\_ OR Annual Convention

October

- \_\_\_\_\_ Ohio Edison – Online
- \_\_\_\_\_ Columbia Gas – Online
- \_\_\_\_\_ City of Spfld Utilities
- \_\_\_\_\_ Spectrum
- \_\_\_\_\_ Credit Card
- \_\_\_\_\_ ADT
- \_\_\_\_\_ OR & NAR dues billing (by the 15<sup>th</sup>)
- \_\_\_\_\_ Affiliate invoice reminders
- \_\_\_\_\_ AE evaluation
- \_\_\_\_\_ Perfect Temp furnace check
- \_\_\_\_\_ Finance committee meeting to prepare the next years budget
- \_\_\_\_\_ Get gifts for directors for Nov BOD meeting

\_\_\_\_\_ File Unclaimed tax on Gateway (by Nov 1<sup>st</sup>)

AE/PE summit in Columbus

November

- \_\_\_\_\_ Ohio Edison – Online
- \_\_\_\_\_ Columbia Gas – Online
- \_\_\_\_\_ City of Spfld Utilities
- \_\_\_\_\_ Spectrum
- \_\_\_\_\_ Credit Card
- \_\_\_\_\_ ADT
- \_\_\_\_\_ Core Compliance
- \_\_\_\_\_ Prepare new banner
- \_\_\_\_\_ Order new gavel & plaques
- \_\_\_\_\_ Plan Leadership Summit

NAR NXT Convention

BOD Executive Session

Fed Income filed by accountant

AEI Registration open in DEC

December

- \_\_\_\_\_ Ohio Edison – Online
- \_\_\_\_\_ Columbia Gas – Online
- \_\_\_\_\_ City of Spfld Utilities
- \_\_\_\_\_ Spectrum
- \_\_\_\_\_ Credit Card
- \_\_\_\_\_ ADT
- \_\_\_\_\_ Send dues reminder
- \_\_\_\_\_ Calendar of events for following year
- \_\_\_\_\_ Leadership Summit (1<sup>st</sup> week in Dec)
- \_\_\_\_\_ Update forms, MI, website, orientation pages, etc
- \_\_\_\_\_ Get award winner gifts
- \_\_\_\_\_ Get plaque & PE gavel
- \_\_\_\_\_ Christmas Gala

AEI Registration opens