



## **AMERICAN SOCIETY FOR PUBLIC ADMINISTRATION POLICIES AND PROCEDURES**

**February 2023**

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## **CHAPTER 1 OVERVIEW**

### **A. Incorporation**

The American Society for Public Administration (ASPA) is a corporation under the Not for Profit Corporation Act of the State of Illinois, incorporated September 13, 1945. From 1939 to 1945, there existed an unincorporated association known as ASPA. Upon incorporation, members of the unincorporated association became members of the ASPA corporation.

The ASPA Endowment is a separate corporation under the District of Columbia Nonprofit Corporation Act, incorporated October 30, 1986.

### **B. Purposes of ASPA**

1. ASPA is organized for the following educational and scientific purposes, as stated in its articles of incorporation:
  - a. Encourage the improvement of public service.
  - b. Facilitate the exchange of knowledge and results of experience among persons interested or engaged in the field of public administration.
  - c. Encourage the collection, compilation, and dissemination of information on matters relating to public administration.
  - d. Advance generally the science, processes, and art of public administration.
2. Consistent with those purposes and outlined in its bylaws, ASPA undertakes its professional and educational activities to advance and advocate excellence in public service by:
  - a. Advancing the study, practice, and art of public administration and furthering public understanding.
  - b. Supporting public administration scholars, professionals, and students in their research, teaching, practice, and outreach.
  - c. Promoting and advocating for excellence, integrity, and equity in public affairs and service.

### **C. Purposes of Policies and Procedures**

These Policies and Procedures have been developed to provide necessary information about ASPA's purpose, organization, and functions to members, prospective members, and stakeholders, and especially to the professional staff and members who may have governing and administration responsibilities.

The National Council (or Council to which it may be referred throughout the Policies and Procedures) is authorized by the bylaws to approve policies in areas not covered by the bylaws. The bylaws provide that, "in any matter not covered by these bylaws, where there is now or may be in the future an existing and published policy approved by the National

Council, the same shall prevail to the extent it is consistent with the law, the articles of incorporation, and these bylaws.”

#### **D. Amendment of Policies and Procedures**

1. Maintenance. The Executive Director shall assign staff to update the Policies and Procedures within a reasonable time following any event that creates the need to modify them. Such events may include Council meetings, elections, or formal bylaws amendments.
2. Amendment. These Policies and Procedures are intended to be a “living document.” The National Council may amend them at any time consistent with its authority.
  - a. Any Officer, the Executive Director, or Council member may present a proposed amendment to the National Council. Any Committee, Chapter, Section, or member in good standing may propose an amendment by submitting it to the National Office, which will present it to the National Council for consideration.
  - b. The amendment process shall not supersede any part of the Policies and Procedures, such as the bylaws, that has its own amending procedure.
  - c. The National Council may approve an amendment by a simple majority of those present and voting at the next scheduled Council meeting.
  - d. In the event of an urgent need, the Executive Committee, by recorded majority, may adopt an amendment. In such cases, the National Council shall be notified as soon as possible, with the amendment being recorded in the minutes of the next Council meeting.

#### **E. Distribution of Policies and Procedures**

The Executive Director shall maintain the updated Policies and Procedures manual at the National Office and shall distribute it to Council members, Section and Chapter leaders, and Committee members upon request. The manual will be included in the briefing materials that incoming Council members receive during their orientation period.

The Policies and Procedures shall be posted in an appropriate section on ASPA’s website, [www.aspanet.org](http://www.aspanet.org).

## **CHAPTER 2**

### **MEMBERSHIP, DUES, AND BENEFITS**

ASPA is a professional membership association for scholars, professionals, and students engaged in the study and practice of public administration and in public service. Any individual or organization interested in ASPA's purposes is eligible for membership. Membership categories are available to individuals and institutions, each of which carries certain rights, benefits, and privileges. As members have rights and benefits, they also have obligations that apply to all members equally.

#### **A. Membership Categories**

##### **1. Individual Member**

This category is for a public service professional—practitioner or academic—or other interested party. Individual members have all rights and privileges of a member and receive ASPA publications in hard copy.

##### **2. Electronic Member**

This category is for a public service professional—practitioner or academic—or interested party. Electronic members have all rights and privileges of a member and receive ASPA publications electronically. They may receive hard copies for an additional fee.

##### **3. New Professional Member**

This category is for a new professional who has been working in public service for fewer than three years. A new professional membership is valid for a maximum of three years, after which the member category will automatically change to Electronic. New Professional members have all rights and privileges of a member and receive ASPA publications electronically. They may receive hard copies for an additional fee.

##### **4. Student Member**

This category is for an individual enrolled in an undergraduate, graduate, or PhD program, either on a full- or part-time basis. An individual must provide his/her university/college and, upon the Executive Office's request, verification of enrollment, when selecting this category. A student membership is valid for a maximum of three years, after which the member category will automatically change to New Professional. Student members have all rights and privileges of a member and receive ASPA publications electronically. They may receive hard copies for an additional fee.

##### **5. Retired Member**

This category is for an individual who has retired from full-time employment. Retired members have all rights and privileges of a member and receive ASPA publications in hard copy.

## 6. Life Member

This category is for an individual who has been a member for at least 25 consecutive years and pays one-time dues of \$3,500. Life members have all rights and privileges of a member and receive ASPA publications in hard copy. Other benefits include waived membership dues and complimentary registration for the Annual Conference. Life members are responsible for the costs of Section membership(s) and secondary Chapter membership(s). In 2019, the National Council, upon recommendation of the Financial Management Committee, suspended new life memberships until further determination of their financial value and benefit to ASPA. The Council affirmed this moratorium in February 2023.

## 7. Institutional Member

ASPA's institutional membership program enables universities and other organizations and agencies to encourage ASPA membership among their students, faculty, and/or employees. It also enables the institutions to promote their own programs and activities through ASPA's communications channels.

The National Office individually tailors each membership agreement to meet a specific institution's priorities and needs. Some agreements provide membership to some or all of an institution's students and/or employees; others provide a discounted rate. Still other agreements focus on marketing benefits—such as advertising in *PA TIMES* or on ASPA's online platforms—or conference benefits like exhibit space or program advertising. Individuals who become members through an institutional membership have all rights and privileges of a member unless the agreement specifies otherwise.

## 8. Honorary Member

Honorary memberships, which shall include all the benefits of a regular membership for one year, may be granted by the President and/or Executive Director to individuals who have demonstrated a commitment to public service and who have been supportive of ASPA in an extraordinary fashion.

## 9. Complimentary Member

Complimentary memberships are similar to Honorary memberships; approval by the President and/or Executive Director is required. Complimentary memberships differ from Honorary memberships in that the purpose is to foster relationships with other organizations and often entail a reciprocal grant of membership. Complimentary memberships are valid for one year or the length of the reciprocal membership.

## B. Member Dues

1. Member dues and renewals are based on the anniversary date when the member first joined ASPA, defined as the last day of the month. Should a member lapse in renewing membership and rejoin at a later time, the individual will receive a new anniversary date. Years of membership do not include lapsed years.

2. Membership is valid and benefits are continuous if membership is renewed within 60 calendar days following expiration.

3. Individual Member Dues\*

<u>Category</u>	<u>Dues Amount</u>
Individual	\$145
Electronic	\$120
Retired	\$95
New Professional	\$80
Student	\$70

\* *Effective January 1, 2023. The dues amount includes the individual's Chapter membership, with \$10 per member provided to the respective Chapter.*

4. Section Member Dues

In addition to ASPA membership, individuals can join Sections, which represent separate, identifiable functional specialties or interest areas within the public administration field. The Sections chapter of this document lists current Sections and dues.

5. Additional Chapter Memberships

Each individual membership entitles the individual to a membership in a primary Chapter. A member wishing to join additional Chapters may do so by paying the fee stipulated in the dues schedule, \$10 per Chapter as of December 1, 2019. The National Council may adjust this fee at any time, either temporarily or permanently, including times of extraordinary financial circumstances.

**C. Review of Membership and Dues Structure**

1. The Financial Management Committee shall review the dues structure every three years with a recommendation to the National Council, which determines any changes. No membership dues or fees shall be raised within the year for which they have been paid. The Executive Director is authorized to institute temporary, experimental deviations from the regular dues structure, as appropriate, for membership marketing.
2. In 2016, the National Council established a policy that enables the Financial Management Committee, in consultation with the Executive Committee, to institute a maximum five percent increase annually in any dues category. The rationale is to provide authority to the Financial Management Committee to institute increases without a prolonged process. The three-year review remains.
3. The National Council may establish additional membership categories with limited benefits and privileges and without voting rights.

**D. Termination of Membership**

1. Reasons for Termination

Membership shall terminate automatically without the necessity of Council action whenever a member fails to pay dues when said dues are due and payable. A 60-day grace period is provided.

The National Council may terminate membership or impose other sanctions on members for a serious violation of ASPA's Code of Ethics following the Ethics and Standards Implementation Committee's (Ethics Committee's) investigation and recommendation.

## 2. Procedure

The confidential complaint process covers only members. Neither the person named in a complaint nor the complainant is publicly identified or disclosed to members at any time.

The Ethics Committee defers its review of a complaint until any other bodies reviewing the action (courts of law, legislative bodies, agencies, or other involved organizations) have completed their work. The Committee then will determine if future evaluation is required.

The review of a complaint goes through the following stages:

- a. A member or nonmember can submit a complaint about an ASPA member to the National Office. Complaints must be related to actions occurring after May 1, 2016, the date when the current process was initiated. Complaints must specifically reference the tenet(s) of the Code that the complainant feels has been violated.
- b. The Ethics Committee will receive the complaint to determine whether the action potentially violates the Code. If the complaint is deemed not to be a violation, it will be dismissed with an explanation to the complainant.
- c. If the action is verified and judged to be a violation, the Ethics Committee will work with the Executive Committee to determine if further steps should be taken.
- d. Should the Executive Committee authorize the Ethics Committee to engage in the issue, the Ethics Committee will discuss the complaint with the member and encourage voluntary corrective action.
- e. Upon review and depending on the circumstances of the complaint, investigation, and conclusion, the Ethics Committee may recommend additional action by the National Council.

## **E. Membership Benefits**

ASPA membership provides many opportunities to interact with others sharing an interest in, and commitment to, public service. It offers a wide array of benefits that can become an important part of a member's professional life and development.

### 1. Chapter Activities

Members are entitled to membership in a primary Chapter as part of their annual dues. They are assigned or encouraged to join Chapters near their places of employment or residence. Non-U.S. members are assigned to the International Chapter, unless they indicate otherwise. Persons not belonging to any Chapter shall be Members-at-Large.



## 2. Section Activities

Members may join Sections on a voluntary basis for the annual dues amount that the National Council establishes from time to time, in consultation with the Sections.

## 3. Participation in ASPA Governance

All individual members in good standing shall have the right to vote for Officers, Council members, and ASPA matters that come before the membership, as applicable; serve on boards and Committees and stand for election to office, if qualified; attend ASPA meetings; and have such other membership rights and benefits as the National Council may determine from time to time.

## 4. *Public Administration Review*

Each member receives *Public Administration Review (PAR)*, ASPA's flagship publication and the field's preeminent professional journal. First published in 1941, *PAR* brings credibility and respect to ASPA. Its articles provide authoritative information, theory, and application on today's issues. Method of delivery—print or electronic—depends on the member category.

## 5. *PA TIMES*

Each member receives *PA TIMES*, ASPA's quarterly magazine featuring originally produced content that keeps members and the broader public service community apprised of current public policy and administration topics. *PA TIMES* also provides information on conferences and Chapters, Sections, and members. The method of delivery—print or electronic—depends on the member category. *PA TIMES* Online, sent twice weekly to members, includes original articles that are posted on its own website, <http://patimes.org>.

## 6. Annual Conferences

Members are encouraged to attend and participate in ASPA's Annual Conference, a highly respected forum for professional exchange, growth, and exploration of present and emerging issues. Plenary sessions, workshops, and nationally known speakers contribute to this highly stimulating and educational event. Conference fees are reduced for ASPA members.

## 7. Regional, District and Special Focus Conferences

ASPA encourages members to actively engage with the regional conferences with which it is affiliated: Southeastern Conference for Public Administration (SECoPA), Northeastern Conference on Public Administration (NECoPA), and Midwest Public Affairs Conference (MPAC). Each is a separately incorporated organization, with its own governance structure, that counts among its membership those ASPA members who reside or work in specific ASPA electoral districts. ASPA has no legal connection to these regional conferences and has no formal role in the development of their conferences, though it has individual memoranda of understanding with SECoPA and MPAC; the MOUs outline activities that mutually benefit

ASPA and the other organization, such as cross-promotional opportunities and leadership representation at the other's events.

8. [www.aspanet.org](http://www.aspanet.org)

ASPA's website, [www.aspanet.org](http://www.aspanet.org), provides a repository of resources, including a member-only archive with more than 250 hours of e-learning content, leadership resources, *PA Gateway*, and more.

## **CHAPTER 3 GOVERNANCE**

### **A. Composition of the National Council**

The National Council consists of 21 voting members and one non-voting member.

1. The National Council's voting members are the following:
  - a. President, who shall serve as Chair
  - b. President-Elect
  - c. Immediate Past President
  - d. fifteen members, consisting of three individuals elected from each of ASPA's five electoral districts
  - e. one member representing the Conference of Minority Public Administrators, an ASPA Section
  - f. one student member representing ASPA's student membership
  - g. one member representing ASPA's international membership
2. The National Council's non-voting member is the Executive Director.
3. In 2018, the National Council approved a transition plan to accommodate the comprehensive bylaws amendments that members approved the prior year. The plan provides for the Immediate Past President to serve on the National Council until the conclusion of the 2023 Annual Conference, at which time the National Council will revert to 20 voting members and one non-voting member.

### **B. Terms and Representation of Council Members**

1. Council members elected from each electoral district shall be elected for a three-year term with one member elected each year from each electoral district by the members within such electoral district. These Council members are eligible to serve no more than two full consecutive terms but are eligible to serve additional terms following at least one year of non-service.
2. The Council member representing the Conference of Minority Public Administrators shall be designated by that Section's chair to serve a one-year term.
3. The Council member representing ASPA's student membership shall be elected by those holding the Student and New Professional membership categories to serve a one-year term.
  - a. The bylaws provide that individuals in two membership categories—Student and New Professional—elect the Council member representing ASPA's student membership. The National Council interprets this provision to mean that both Student and New Professional members in good standing may be eligible for election to this seat, notwithstanding another bylaws provision that the seat be

held by a “student member representing ASPA’s student membership.” The rationale is to ensure that the eligible electorate for this seat has the right to representation on the National Council.

4. The Council member representing ASPA’s international membership shall be elected by members whose primary address is outside the United States to serve a three-year term. This member is eligible to serve no more than two full consecutive terms but is eligible to serve additional terms following at least one year of non-service.
5. Council members shall serve until their successors are elected or appointed and take office, or until their earlier resignation or removal. Newly elected Council members and incoming Officers shall assume office at the close of the annual membership meeting, which is contemplated to take place in conjunction with the Annual Conference, or at the scheduled conclusion of the Annual Conference.

### **C. Nomination and Election**

1. To be eligible for nomination to the National Council, an individual shall be a member in good standing and must have been a member for at least one year immediately prior to his/her nomination.
  - a. For purposes of eligibility for office, those whose memberships have lapsed will be considered members in good standing for a grace period of 60 days, provided full dues are paid by the end of this grace period.
  - b. A candidate shall have his/her primary residence or place of employment in the electoral district from which he/she is nominated and is to stand for election.
2. Members in good standing will be invited to submit suggestions of individuals to the Nominating Committee for consideration as Council members. The Committee shall consider these suggestions and those from any other source. The National Council affirms that “any other source” includes Committee members themselves.
3. Incumbent Council members eligible to seek a second consecutive full term shall be considered for, but are not guaranteed, renomination. The incumbents’ attendance and participation in Council meetings may be considered in determining renomination. Prior to determining the slate of nominees, the Nominating Committee shall confer with the President and Executive Director or their designee to gain perspective on the incumbents’ contributions to the governance of ASPA.
4. Following ASPA’s prompt and official announcement of the Nominating Committee’s slate of nominees, the names of consenting members may be placed in nomination through petitions signed by at least 25 members in good standing of the electoral district and/or electorate in which the candidate wishes to run. The petitions must be presented to the Nominating Committee no later than 30 calendar days following the official announcement.
5. The Executive Director shall provide each member in good standing, no later than 90 calendar days prior to the annual membership meeting, a ballot that includes the Council

candidates and biographical information on each one. The National Office must receive ballots by the deadline stated on the ballot. The ballot may be provided electronically. A printed ballot will be mailed via U.S. Postal Service to each member in good standing requesting one or for whom ASPA does not have an email address.

6. The nominee receiving the highest number of votes for each office shall be elected. In the event of a tie vote, the winner will be determined by drawing of lots or flip of the coin by the President.
7. If an individual is elected to the National Council but declines to take his/her seat, the Executive Director shall declare the candidate receiving the next highest number of votes to be the winner. Should there be no other candidate, the matter shall be treated in the fashion of a resignation; the President shall appoint a person to the seat with the National Council's advice and consent to serve the vacated term.
8. In the event of a contested election, the National Council, in its sole and absolute discretion, shall have final authority to declare the results of the election.
9. The eligible electorate is composed of those members whose membership is current at the start of the balloting period and will remain current through the end of it. At least 30 days in advance of the balloting, the Executive Director will alert any member whose membership is due to expire prior to or during the balloting period of this timing.

#### **D. Electoral Districts**

1. There shall be five electoral districts consisting of members/Chapters within several specific states' boundaries. The National Council shall comprehensively review the electoral districts at five-year intervals to ensure they are of comparable size in terms of membership. If they are deemed not to be comparable in size, the National Council shall redraw the districts.
2. The current electoral districts comprise the following states and territories:
  - a. Electoral District 1: Consisting of members/Chapters in Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, and Vermont
  - b. Electoral District 2: Consisting of members/Chapters in Delaware, District of Columbia, Maryland, Indiana, Michigan, Ohio, Pennsylvania, Virginia, Virgin Islands, Puerto Rico, and West Virginia
  - c. Electoral District 3: Consisting of members/Chapters in Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, and Tennessee
  - d. Electoral District 4: Consisting of members/Chapters in Alaska, Colorado, Idaho, Illinois, Iowa, Kansas, Minnesota, Missouri, Montana, Nebraska, North Dakota, Oregon, South Dakota, Washington, Wisconsin, and Wyoming
  - e. Electoral District 5: Consisting of the members/Chapters in Arizona, California, Hawaii, New Mexico, Nevada, Oklahoma, Texas, and Utah

## **E. Removal of Council Members**

1. Council members must be members in good standing, which includes paying their membership dues, for the entirety of their term of service.
2. Council members shall be automatically removed from office following a second unexcused Council meeting absence unless the National Council, by majority vote of members entitled to vote, excuses one or more of the absences.
  - a. To be excused from a Council meeting, the member must submit a written explanation for the absence to the President. The explanation must be provided in advance of the meeting, as practical, but must be provided no later than seven days following the meeting date. The National Council will determine whether the absence is excused or unexcused at its next scheduled meeting.
  - b. All excused absences will be recorded in minutes of the affected meeting.
3. If a Council member moves from the electoral district in which he or she was elected, the office will be declared vacant by the Executive Director and filled by Presidential appointment.
  - a. A member is considered to have “moved” when both the member’s active place of residence and the member’s principal place of work are reliably expected to be outside the electoral district permanently or for 13 months or longer. Example: A one-year sabbatical elsewhere would not constitute a move, nor would employment outside the district if the individual commutes weekly or seasonally from a principal residence in the district.
4. A Council member’s failure to comply with duties assigned by the bylaws will result in removal.

## **F. Council Vacancies**

The bylaws authorize the President to fill, by appointment, any Council vacancy for the remainder of an unexpired term. The National Council’s intent is that replacements are appointed to complete the full term in the vacant district, thus preserving the principle of staggered terms.

## **G. Officers**

1. Officers and Terms of Office
  - a. The Officers are the President, President-Elect, and Secretary-Treasurer (Executive Director).
  - b. The President serves for a term of two years. Consistent with the Council’s 2018 transition plan, the length of the Presidential term shall increase from one to two years effective with the 2021-2023 President who will assume office at the scheduled conclusion of the 2021 Annual Conference.

- c. The President-Elect is elected to a two-year term and automatically succeeds to the office of the President upon completion of his/her predecessor's term. Consistent with the Council's 2018 transition plan, the President-Elect shall begin to serve a two-year term at the scheduled conclusion of the 2021 Annual Conference.
- d. The Executive Director shall be appointed by the National Council.

## 2. Nominations

- a. To be eligible for nomination for President-Elect, an individual shall be a member in good standing and must have been a member for at least one year immediately prior to his/her nomination.
- b. Members in good standing will be invited to submit suggestions of individuals for consideration as President-Elect to the Nominating Committee during the years when this position is to be elected. The Committee shall consider these suggestions and those from any other source. The National Council affirms that "any other source" includes the Committee members themselves.
- c. The Nominating Committee shall nominate a minimum of one individual to stand for election as President-Elect.
- d. Following ASPA's prompt and official announcement of the nominee(s), the names of consenting members may be placed in nomination for President-Elect through petitions signed by at least 50 members in good standing with not more than 75 percent of the signatures coming from one electoral district and not less than 25 percent from at least three other electoral districts. The petitions must be presented to the Nominating Committee no later than 30 calendar days following the announcement of the slate.

## 3. Vacancies

- a. In case of death, resignation, or inability of the President to perform the duties of the office, the President-Elect shall immediately succeed him/her and shall be President for the remainder of the unexpired term and then the term for which he/she was elected.
- b. In case of an interim vacancy in the office of President-Elect, the National Council will elect a replacement to serve for the remainder of the unexpired term.

## **H. Duties of the National Council**

### 1. General Duties

The National Council is ASPA's board of directors and shall manage, control, and direct its affairs. The National Council shall have and exercise all powers of a not-for-profit corporation under the law of Illinois, including but not limited to the following:

- a. Set ASPA's overall direction and policy.
- b. Oversee ASPA's management and ensure its financial stability.
- c. Establish, oversee, develop, and disestablish Chapters, Sections, Committees, and other bodies.

- d. Delegate powers and duties to Officers and employees.
- e. Appoint and remove the Executive Director.
- f. Accept ASPA's annual audit.
- g. Recommend to the membership the adoption, amendment, and/or repeal of ASPA bylaws.

## 2. Duties Assigned by the Bylaws

ASPA bylaws assign several specific duties to Council members with regard to ASPA's governance. These are the following:

- a. Attend all meetings of the National Council and committee meetings to which they have been assigned, in person or by other telecommunications methods.
- b. Establish performance goals, expectations, and measures for itself on an annual basis. Report on the Council's progress toward meeting them to the membership on at least an annual basis.
- c. Acknowledge compliance with their duties in writing.
- d. Provide consent to the renewal of the incumbent Editor-in-Chief of *Public Administration Review* for a successive term as the Editor serves at the Council's pleasure.

## 3. Duties Established by the National Council

Council members are expected to assume leadership responsibilities vital to ASPA's effective operation, including National, District, Chapter, and Section responsibilities:

- a. National Organization
  - Actively support ASPA's goals, including leading development of its strategic direction and/or plan.
  - Engage in policy deliberations and decisionmaking impacting ASPA.
  - Represent ASPA's goals and objectives to members and the general public.
  - Ensure prudent use of all assets, including financial resources, intellectual property, people, and goodwill; seek to enhance such assets; and fulfill its fiduciary responsibility by supporting activities that advance ASPA's effectiveness and sustainability.
  - Provide consent to the renewal of the incumbent Editor-in-Chief of *Public Integrity* for a successive term as the Editor serves at the Council's pleasure.
  - Sign and comply with ASPA's conflict of interest policy.
  - Make an annual contribution to ASPA operations and/or the ASPA Endowment and participate in Council-led fundraising initiatives aimed at strengthening the financial position of ASPA operations and/or Endowment.
- b. Chapters and Sections



- Participate in intentional efforts to enrich the membership experience at the Chapter and Section level via social media/communication platforms. These efforts include, but are not limited to, celebrating member accomplishments, Public Service Recognition Week, appointments, awards, and bereavements; disseminating professional growth and development opportunities; mentoring students and young professionals; leading programming based on membership recommendations; updating members on Chapter/Section activities and strategies; and encouraging participation in ASPA national events.
  - Engage in a regular recruitment drive—or, at a minimum, conduct targeted outreach on quarterly basis—by capitalizing on members and their networks, including outreach to masters and PhD level students, young professionals and bureaucracies and nonprofit organizations at the Chapter, district, and/or Section levels.
- c. Chapters (*Council members serving in a District Representatives capacity*)
- Participate regularly in the activities of Chapters within their district/region. Serve as the Council's primary liaison to their respective Chapters.
  - Connect quarterly with Chapter leaders in their district/region to discuss Chapter efforts and work closely to help revitalize ineffective/struggling Chapters by drawing on the strengths and experiences of effective ones. Participate regularly in Chapter events to foster relationship building and collaboration.
  - Initiate, in collaboration with Chapter leaders, regional events specific to public service issues and concerns impacting the district, using such platforms as webinars. Use practitioners/professionals to initiate events with local governments, Tribal governments and nonprofit organizations, including related membership organizations at the Chapter and/or district/regional level. Encourage collaboration between Chapters and Sections relative to district and regional conferences.
  - Work with Chapter leaders to promote Chapter leadership development and succession through mentorship, including encouraging existing Chapter leaders to identify and nurture leadership talent of students and young professionals at the Chapter and/or district level.
- d. Sections (*designated Council members*)
- Participate regularly in Section events to foster relationship building and collaboration. Designated and assigned annually, serve as the Council's primary liaison to their respective Sections.
  - Connect quarterly with Section leaders to discuss Section efforts and work closely to help revitalize ineffective/struggling Sections by drawing on the strengths and experiences of effective ones.
  - Support Section programming in furtherance of the Section's mission and/or help initiate programs to promote a focus on key public service issues and concerns to galvanize the participation of faculty, students and practitioners affiliated with each Section, using such platforms as webinars. Use practitioners/professionals to initiate events with local

governments and nonprofit organizations, including related membership organizations at the Section level.

- Work with Section leaders to promote Section leadership development and succession through mentorship, including encouraging existing Section leaders to identify and nurture leadership talent of students and young professionals at the Section level.

#### 4. Conflict of Interest

- a. ASPA shall make no loan to any Officer, National Council member, or member. To avoid conflicts of interest or even the appearance of impropriety, whenever any Officer or National Council member may have any interest or relationship in any transaction, including monetary or services, to be entered into by ASPA, said individual shall make known to the National Council the material facts of the transaction and the nature of his/her interest or relationship in same in advance of such transaction.
- b. As a condition of service, each Council member shall sign annually ASPA's conflict of interest policy, which obligates a Council member to disclose to the National Council and any applicable committee the material facts of a proposed ASPA activity or transaction in which the individual has any actual or potential conflict of interest.
- c. A conflict of interest exists whenever there is any proposed ASPA activity or transaction in which a Council member, Officer, or staff member has any actual or potential involvement, interest, or relationship, either directly or indirectly. A Council member, Officer, or staff member shall have an indirect interest in a proposed activity or transaction if the other party in the transaction is related to such Council member, Officer, or staff member; such other party is an entity in which the Council member, Officer, or staff member has a material financial interest; or the Council member, Officer, or staff member is an Officer, member, or partner of such other party.
- d. The disclosure must be made prior to any consideration of such proposed activity or transaction by the National Council or any applicable Committee. The Council member or Officer having the conflict shall not participate in the final deliberation or decision regarding the matter under consideration and retire from the room during the deliberations.
- e. Any proposed activity or transaction in which a Council member or Officer has a conflict of interest must be approved by a majority of Council members or the applicable Committee entitled to vote other than the interested member(s) at a meeting at which a quorum is present, even though the disinterested members may constitute less than a quorum. Such interested member(s), if present, may be counted solely for purposes of determining whether a quorum is present.
- f. The minutes of the meeting of the National Council or the Committee shall reflect that the conflict of interest was disclosed and that the interested person did not vote or participate in the final discussions, and, if appropriate, was not present during such discussions and vote.
- g. Where there is a doubt as to whether a conflict of interest exists, the matter shall be resolved by a vote of the National Council or the Committee, excluding the person concerning whose situation the doubt has arisen.

## **I. Duties of the President**

1. The President shall:
  - a. Exercise leadership of ASPA.
  - b. Preside over all National Council meetings and the annual membership meeting.
  - c. Appoint members to Committees and other bodies.
  - d. Serve on and chair the Executive Committee.
  - e. Serve as an *ex officio* member with vote on every standing Committee, with the exception of the Nominating Committee and Audit Committee of which the President shall not be a member.
  - f. Appoint members of the ASPA Endowment Board, consistent with the Endowment's corporate bylaws.
2. The President is ASPA's principal public spokesperson and shall, at the annual membership meeting and other times and forums, communicate, advise, inform, and suggest actions and policies proper to advance the goals, purposes, and programs useful to ASPA, Chapters, Sections, other Committees, and members.
3. Concurrent with the term of office, the President may make such other appointments as the bylaws require or as may seem necessary in ASPA's interests. These include, but are not limited to, the appointment, with the National Council's consent, of the Editors-in-Chief of *Public Administration Review* and *Public Integrity*, ASPA's two owned journals.
4. Any presidential appointee may be removed from office by the President in accordance with rules that the National Council has established. In such cases, the President shall consult with the National Council in executive session prior to removal.
5. As ASPA's public symbol, the President shall act at such times and places as necessary and take actions as useful to execute the provisions of ASPA's bylaws and policies, protect members' rights and welfare, and promote their interests.
6. On issues of significance, the President shall, in situations of dispute regarding policy implementation, act as a liaison among the Executive Director, other Officers and Council members, Chapter presidents, Section and Committee Chairs, and other agents of ASPA, as may exist from time to time.
7. The President will perform all duties that the bylaws assign or that the National Council entrust. These include, but are not limited to, the calling of meetings, appointments, and establishment and disestablishment of Committees and other bodies.

## **J. Duties of the President-Elect**

The President-Elect shall:

1. Manage the Council's work in establishing annual performance goals, expectations, and measures; and develop the report to the membership on meeting them.

2. Serve on the Executive Committee.
3. Perform such duties as assigned by the bylaws and/or President.

#### **K. Duties of the Executive Director**

1. The Executive Director is ASPA's Chief Executive Officer, reporting and accountable to the National Council.
2. The Executive Director shall be responsible for the following:
  - a. Supervise and execute ASPA's business and affairs.
  - b. Provide leadership and direction to ASPA and consult with the President as matters of policy arise.
  - c. Formulate plans and policies for the accomplishment of ASPA's purposes, consistent with objectives that the National Council has established.
  - d. Initiate, establish, and maintain management systems to ensure implementation of policy direction that the National Council has established.
3. The Executive Director shall serve as ASPA's Secretary-Treasurer and be responsible for working with the Committees responsible for financial oversight.
4. The Executive Director's detailed responsibilities shall include, but not be limited to, the following:
  - a. Determine, prioritize, and manage ASPA's programmatic activities.
  - b. Initiate and implement strategy development and strategic plans in coordination with the National Council and Executive Committee.
  - c. Develop and implement plans to increase ASPA membership through recruitment, retention, and engagement in consultation with the National Council, Executive Committee, and Chapters.
  - d. Manage development and implementation of the Annual Conference's programmatic and logistical aspects, in consultation with the President.
  - e. Assign, manage, and oversee staff support for Chapters and Sections.
  - f. Have custody of ASPA's funds, maintain its accounts, and serve as fiscal agent for all ASPA business.
  - g. Prepare and recommend an annual budget to the National Council through the Financial Management Committee.
  - h. Advise and provide staff support to the National Council and each Committee.
  - i. Recruit, appoint, develop, and remove all employees.
  - j. Serve as Editor-in-Chief of *PA TIMES*.
  - k. Make an annual report to the National Council.

#### **L. Meetings of the Council**

1. Notice. Council meetings shall be held upon written notice delivered to each Council member by electronic mail or other commonly accepted delivery service and made not less than 10 calendar days prior to the date of the meeting. Meetings shall be at the call of the President or a majority of Council members.
2. Scheduling. The scheduling of Council meetings shall take religious holidays into consideration. All such meetings shall be open to any member in good standing, except for executive sessions.
3. Quorum. A majority of the Council's voting members shall constitute a quorum. Telephonic participation and voting shall be permitted at all Council meetings and such participation shall constitute presence in person at the meeting.
4. Votes and Decisionmaking
  - a. The act of a majority of Council members entitled to vote at a meeting at which a quorum is present shall be the act of the National Council or shall be necessary for the provision of its consent, except as otherwise provided by law, the articles of incorporation, or the bylaws.
  - b. Any action required or permitted to be taken at any Council meeting may be taken without a meeting if the text of the resolution or matter agreed upon is sent to all Council members who must consent to such action in writing, including by electronic mail, setting forth the action taken. Such consent shall have the same force and effect as a vote of the National Council at a meeting and be described as such in any document that ASPA may execute.
  - c. Voting by proxy is not permitted in accordance with State of Illinois law for nonprofit organizations.
5. Conduct of Council Meetings. As Council business does not typically require Parliamentary-level procedures, National Council policy is that its business shall be conducted using a Consensus Decisionmaking model, with open and collaborative discussion and consensus decisions, whenever feasible. The procedures for Consensus Decisionmaking are the following:
  - a. Consistent with the meeting agenda, a discussion or action item is brought forward. The presenter will describe the topic or action item, as necessary, and the President or presiding Officer will recommend the amount of time to be devoted to it.
  - b. The National Council will discuss the item to identify pros and cons, raise questions, request points of information, make modifications, suggest related actions, and make comments. These are done in the spirit of open expression of views, improved decisions, and a consensus outcome.
  - c. As consensus nears, the President or presiding Officer will restate the latest version of the item and determine whether all members agree. At this point, members may support the consensus by agreeing; consent with reservations or abstain; or block the consensus by objecting. The President or presiding Officer will indicate if unanimity has been reached. If so, the outcome will be stated and recorded in the minutes. If not, the President or presiding Officer will determine

whether to continue discussion to seek consensus or switch to Parliamentary procedure under *Robert's Rules of Order*.

- d. At any point, a Council member may request a switch to Parliamentary procedure under *Robert's Rules of Order*. The President or presiding Officer also may call at any time for Parliamentary action to replace the consensus process if it seems appropriate or a direct vote is necessary.
6. Executive Sessions. The purpose of a closed executive session is to enable frank discussion among Council members on sensitive or confidential issues affecting ASPA. Such meetings shall not be used as a means of avoiding public discussion of controversial topics. The rules for an executive session are as follows:
- a. No voting member of the National Council may be excluded.
  - b. By a majority vote of the Council, the non-voting Council member may be dismissed from the executive session.
  - c. The only issue for discussion is the one for which the session was called.
  - d. The National Council is permitted to take formal actions during any executive session through proper motions and votes in accordance with the procedures outlined in this chapter.
  - e. Once discussion of the issue has been concluded, the National Council shall reopen the meeting to consider regular business or conclude the meeting.
  - f. Any voting Council member shall have the authority to request an executive session. Such requests shall be submitted verbally or in writing 24 hours prior to a scheduled Board meeting.
  - g. The National Council may invite non-members to the executive session if it wishes them to be involved in the discussion or report on the issue at hand.
  - h. Executive session minutes shall be read and approved in a separate executive session by those Council members in attendance at the aforementioned session and shall remain confidential so that access is only available to Council members.

#### **M. Annual Membership Meeting**

1. The annual membership meeting shall be held at a time and place that the National Council designates in conjunction with the Annual Conference, unless circumstances require selection of an alternate date.
2. The President or National Council may call special membership meetings. The agenda for a special meeting must be limited to those matters identified in the meeting notice.
3. Written notice stating the purpose, time, and place of a membership meeting shall be delivered not fewer than 20 nor more than 60 calendar days prior to the date of such meeting.
4. The quorum for annual and special membership meetings shall be 50 members, unless the bylaws specify otherwise.

5. At membership meetings, members may introduce resolutions and proposals concerning ASPA affairs. Such matters, when approved by a majority of members in attendance where a quorum is present, will be referred to the National Council for consideration.
6. When a resolution or proposal is duly approved by the membership at a membership meeting, the National Council may:
  - a. Enact the measure where consistent with its authority.
  - b. Veto the measure if it believes the measure to be in violation of ASPA's constitution or the law, or to be financially or administratively unfeasible. The National Council shall publish an explanation for a veto. This action is final.
  - c. Refer the measure to the full membership for a vote.
  - d. Decline to enact the measure and decline to refer it to the full membership for a vote. In such a case, the measure may be taken up at the immediately following annual membership meeting and sent directly to the full membership for a vote provided that (a) a quorum of two percent of the membership is attained at the meeting; and (b) a simple majority of members in attendance where a quorum is present votes to approve.

## **CHAPTER 4 COMMITTEES**

### **A. Types of Committees**

Functionally, ASPA operates with two types of Committees, which the bylaws define:

1. *Standing Committees* address continuing concerns to ASPA. They are defined in the bylaws and their charge may be modified only by amendment to the bylaws. Unless otherwise stated, the President shall appoint Standing Committee members, with the Council's consent.
2. *Program Committees* address specific issues or topics related to ASPA's mission and programming.
  - a. *Continuing Program Committees* may be established by the National Council, which determines their purpose and term. They shall continue until the National Council disestablishes them. Each Continuing Program Committee shall have six members serving staggered two-year terms, with three appointed annually by the President, unless the National Council specifies otherwise.
  - b. *Ad Hoc Program Committees* may be established by the President or the National Council to address specific issues or topics generally capable of resolution within one year. The President shall appoint the Committee's members. Each Ad Hoc Program Committee shall expire no later than the conclusion of the term of the President serving at the time of its establishment.

### **B. Committee Appointment Process Established by the Bylaws**

1. The President shall appoint all Committee members and Chairs, unless the bylaws or National Council specifies otherwise.
2. All Committee members and Chairs must be ASPA members in good standing at the time of their appointment, unless the National Council approves otherwise.
3. The President shall update the National Council on Committee appointments and composition on a timely basis.
4. Committee appointments must ensure a broad range of expertise and representation of ASPA's diverse membership.
5. All Committee members shall serve at the pleasure of the National Council.
6. The President shall serve as an *ex officio* member with vote of every Committee, with the exception of the Nominating Committee and Audit Committee, of which the President shall not be a member.



7. Unless the bylaws specify otherwise, a quorum shall consist of 50 percent of the Committee's appointed membership present, in person or by phone.

### **C. Committee Appointment Process Established by the National Council**

1. Committee terms begin at the conclusion of the last scheduled day of the Annual Conference. One-year terms expire on the last scheduled day of the following year's Annual Conference. Multiple year terms expire on the last scheduled day of the Annual Conference coinciding with the term's final year.
2. The Executive Director will prepare a list of open Committee seats for the President-Elect during his/her presidency and update it. The President-Elect will make appointments to these positions following consultation with the Executive Director prior to starting his/her presidential term. However, the President also may make appointments at any point during his/her Presidency.
3. The Executive Director shall appoint a staff liaison to each Committee.
4. In addition to roles and responsibilities included in the bylaws, the National Council may define other responsibilities for each Standing Committee as long as they do not conflict with those vested with other Committees and/or as the bylaws prescribe.

### **D. Standing Committees**

The bylaws provide for five Standing Committees: Executive Committee, Nominating Committee, Financial Management Committee, Audit Committee, Ethics and Standards Implementation Committee, and Development Committee. These Committees are permanent, subject only to subsequent amendments to the bylaws.

#### **1. Executive Committee**

- a. The Executive Committee consists of six members: the President, who shall serve as Chair, President-Elect, and Secretary-Treasurer (Executive Director), plus two Council members whom the President selects, with the Council's consent. Consistent with the Council's 2018 transition plan, the Immediate Past President shall serve on the Committee upon completion of his/her term at the scheduled conclusion of the 2023 Annual Conference. At that point, the Committee will consist of five members, as the bylaws provide.
- b. The Executive Committee shall exercise all powers of the National Council during the interim between Council meetings, provided that such action shall not conflict with the Council's policies and expressed wishes.
- c. The Executive Committee will fully report any actions it has taken to the National Council at the latter's next meeting.
- d. The presence, in person or by phone, of four Executive Committee members shall constitute a quorum for the conduct of the Committee's business.
- e. The Executive Committee, with the exception of the Executive Director, is the Personnel Committee for the purpose of evaluating the Executive Director's performance on an annual basis.

## 2. Nominating Committee

- a. The Nominating Committee consists of seven members: the three most recent Past Presidents who are members in good standing and able and willing to serve, plus four members in good standing from different ASPA electoral districts and who are not Council members or Past Presidents. The longest serving of the three Past Presidents serving on the Committee shall be Chair.
- b. The President shall appoint three of the district members and the President-Elect shall appoint one district member, with the Council's consent. If three Past Presidents are not available, the President may appoint a sufficient number of other members, with the Council's consent, to complete the Committee. An announcement of the Committee's appointment shall be made promptly.
- c. The Nominating Committee members shall serve a one-year term and shall be appointed not less than 120 calendar days prior to the scheduled annual membership meeting.
- d. The Nominating Committee may directly or indirectly seek suggestions for candidates from the membership, ASPA bodies, Sections and Chapters, and any other source. Members in good standing will be invited to submit suggestions of individuals to the Committee for consideration. The Committee shall consider these suggestions and those from any source. The National Council affirms that "any other source" includes the Committee members themselves.
- e. The Nominating Committee shall nominate at least one candidate for President-Elect and at least one candidate for each Council vacancy when an eligible person is recommended for consideration as a Council member.
- f. Members appointed to serve on the Nominating Committee and who have accepted their appointment are not eligible to be candidates for the National Council or President-Elect for that election cycle, either by nomination or petition, even if they resign from the Committee following their appointment.
- g. The Nominating Committee shall certify the eligibility of members whose names may be placed in nomination through the petition process.
- h. The Nominating Committee shall present a slate of nominees representative of the various groups and professional interests within ASPA, seeking a balance of academic and practitioner, including international, nonprofit, and all levels of government, and considering names suggested to it by the membership and other sources. The Nominating Committee shall give strong consideration to an individual's contributions to ASPA and public service.
- i. The National Council charges the Nominating Committee to present a slate of candidates that is diverse relative to race, gender, ethnicity, gender identity, sexual orientation, and other important forms of diversity.

## 3. Financial Management Committee

- a. The Financial Management Committee consists of six members, with three members appointed annually by the President, with the Council's consent. More than one appointee annually may be from the National Council during each appointment period. The President appoints the Chair annually from among the Council members serving on the Committee.

- b. Each Financial Management Committee member shall serve a two-year term.
- c. The Financial Management Committee has the following responsibilities:
  - 1) Provide guidelines for developing and recommending an annual budget to the National Council and supervise the execution of the budget once adopted.
  - 2) Recommend any deficit-financing plan to the National Council in advance of implementation.
  - 3) Develop and recommend investment policies to the National Council and supervise the execution of such policies once adopted.
  - 4) Conduct a review of ASPA's dues structure every three years.
  - 5) Prepare, with the Executive Director's support, long-term financial analyses of ASPA's fiscal health and direction and report these analyses to the National Council.
- d. In 2016, the National Council established a policy that enabled the Financial Management Committee, in consultation with the Executive Committee, to institute a maximum five percent increase in any dues category. The rationale is to provide authority to the Financial Management Committee to institute increases without a prolonged process.

#### 4. Audit Committee

- a. The Audit Committee consists of six members, with three members appointed annually by the President, with the Council's consent. No more than one appointee annually can be from the National Council during each appointment period. The President appoints the Chair annually from among the Committee members. Executive Committee members may not sit on the Audit Committee.
- b. Each Audit Committee member shall serve a two-year term.
- c. The Audit Committee has the following responsibilities:
  - 1) Seek proposals from qualified auditing firms to conduct ASPA's audit, conduct interviews of firms presenting proposals, and select the firm. It is customary that the audit partner will rotate every five years and the firm every ten.
  - 2) Supervise the audit and approve the firm's report of ASPA's financial position on a timely basis. Supervision will include at least one meeting or conference call with the auditors independent of Officers and staff.
  - 3) Establish and oversee whistleblower protections for the receipt of complaints about financial management from Officers, staff, or members.

#### 5. Ethics and Standards Implementation Committee

- a. The Ethics and Standards Implementation Committee consists of six members, with two members appointed annually by the President, with the Council's consent. The Executive Director shall be an *ex officio* member without vote but countable for a quorum.
- b. Each Ethics and Standards Implementation Committee member shall serve a three-year term.
- c. The Ethics and Standards Implementation Committee has the following responsibilities:

- 1) Advance awareness of, and commitment to, ethical principles and practices in ASPA and promote the importance of ethics in public service through educational activities.
- 2) Provide advice and assistance to members in handling ethical problems.
- 3) Review and seek to resolve ethics complaints.
- 4) Advise the National Council of appropriate action to be taken when a member is found to have violated the ASPA Code of Ethics.
- 5) Investigate, at the Executive Committee's request, matters related to possible unethical practices within the work of ASPA.
- 6) Speak for ASPA in cases involving serious challenges to ethical administration.

## 6. Development Committee

- a. The Development Committee consists of at least six members, with all but one of the members appointed by the President, with the Council's consent. One member must concurrently serve on the Endowment Board and will be appointed by the Endowment Board Chair. No more than two members can be from the National Council. The President appoints the Chair annually from among the National Council members serving on the Committee.
- b. All members should have demonstrable fundraising experience.
- c. Each Development Committee member shall serve a two-year term, which is renewable for up to two additional terms, for a possible maximum six years. Terms will be staggered to provide continuity of operations.
- d. The Development Committee has the following responsibilities:
  - 1) Support the President and Chair in promoting annual contributions from Council and Endowment Board members.
  - 2) Develop an annual and multi-year plan to solicit funds from individuals, as well as corporations and foundations.
  - 3) Explore naming possibilities and develop and implement donor plans.
  - 4) Develop and maintain a file of potential donors, along with their preferences and schedules for donations.
  - 5) Collaborate across Council/Endowment lines to develop and implement mutually beneficial fundraising efforts.
  - 6) Develop proposals and other solicitation materials, both as a group and with appropriate staff resources.
  - 7) Work closely with the Financial Management Committee to determine areas of greatest need and potential.
  - 8) Work closely with staff, consultants, and Advisory Board members, as appropriate for development purposes.

## E. Guiding Principles Governing Committee Service

### 1. Committee Chair Roles and Responsibilities

- a. Except when meetings are specifically required, each Committee Chair shall be responsible for determining when and where to conduct meetings based on the Committee's needs and expectations.

- b. Committee Chairs shall leverage technology and teleconferencing to the greatest extent possible to allow for maximum Committee member involvement. This does not preclude the Chair's ability to call a meeting at a specific venue when desirable or necessary to perform the Committee's work; such circumstances typically relate to the Annual Conference.
- c. The Chair's specific roles include the following:
  - 1) Set dates, times, and locations of Committee meetings.
  - 2) Approve Committee agendas and supporting documentation.
  - 3) Appoint task forces and sub-committees, as appropriate.
  - 4) Present verbal reports to the National Council or other standing Committees, as appropriate.

## 2. Individual Committee Member Roles and Expectations

- a. Committee members are expected to prepare for each Committee meeting by carefully reviewing the agenda and supporting materials.
- b. Committee members are expected to attend all Committee meetings and participate effectively in the meeting and in ASPA's best interest.
- c. Committee members are expected to bear all costs associated with their service, including travel and lodging for in-person meetings. ASPA shall not reimburse Committee members for these expenses.
- d. If a Committee member fails to attend three consecutive meetings without an excused absence from the Chair, his/her membership on the Committee shall be terminated automatically.
- e. Except as expressly authorized in these Policies and Procedures, all Committee recommendations shall be forwarded to the respective governing body for deliberation. The National Council has final authority on whether to approve, modify, table, or disapprove any Committee recommendation.
- f. Committee members may not speak or act individually or collectively for the governing body.
- g. Committee members shall utilize staff as a resource under the Executive Director's direction, but shall not exercise authority over staff or interfere in program implementation.

## 3. Staff Liaison Roles and Expectations

The Executive Director shall assign a staff liaison to each Committee. Staff liaisons will assist in specific tasks related to Committee functions. These may include, but are not limited to, the following:

- a. Conduct information gathering and research.
- b. Coordinate meeting schedules and logistics with the Committee Chair.
- c. Notify Committee members of meetings.
- d. Prepare meeting agendas and related documents in collaboration with the Chair.
- e. Prepare meeting draft minutes and, upon the Committee's review and approval at its next meeting, distribute minutes, as required by policy.

All requests for assignments shall be made through the Executive Director who will assist the Committee in interpreting its responsibilities and ASPA policies. The Executive Director may provide the Committee with information on other activities that may benefit its work.

## **F. Other Bodies**

### **1. Board of Advisors**

- a. ASPA's bylaws provide for a Board of Advisors of well-known experts in public service, both practitioners and scholars, and representatives from foundations that support public service.
- b. Board members will lend their names to support ASPA and be available as Honorary Chairs for fundraising campaigns and conferences.
- c. Members do not need to be ASPA members.
- d. The National Council shall appoint the Board, on the Executive Committee's recommendation, for terms and duties as the National Council may determine.
- e. All Board members serve at the pleasure of the National Council.

### **2. Center for Accountability and Performance Board**

- a. In November 1996, ASPA established the Center for Accountability and Performance (CAP) as an ASPA "center" to address the extensive emphasis and requirement for all levels of government to move to performance-based, results-driven management.
- b. The CAP charter, which the National Council revised and approved in 2016, underscored that CAP is a Council-designated entity and operates as a "constituent unit" of ASPA. Its governance structure is as follows:
  - 1) The CAP Board of Directors consists of 10 members, with nine members serving three-year staggered terms and the President appointing three members annually. The President appoints the tenth member from among the Officers to serve a one-year term as a non-voting, *ex officio* member. In consultation with the Board, the President designates one of the nine voting Board members as Chair for a one-year term.
  - 2) The President will carefully consider nominations from the CAP Board but is solely responsible for the selection and appointment of individuals to the Board. The President shall fill any Board vacancies.
  - 3) Throughout the appointment process, careful consideration is to be given to the need for performance management experience and diversity, including, but not limited to, diversity among levels of government, nonprofit, and academic roles represented; gender; race; and ethnicity. All board appointees must be ASPA members in good standing upon their appointment.
- c. CAP operates under the following guiding principles:
  - 1) Demonstrate the value of performance measurement and management to line managers, staff, elected officials, and the public.
  - 2) Equip and motivate ASPA members to be learners of best practices and leaders of positive change.

- 3) Identify successful practices in public sector performance management, both in the United States and internationally.
  - 4) Be an information source for strategic planning, performance measurement, program evaluation, and best practices techniques.
- d. CAP undertakes the following strategies:
- 1) Engage other public and voluntary organizations, including other ASPA entities, in a coordinated effort to achieve CAP's goals.
  - 2) Foster collaborative approaches by governments toward achieving their shared outcome goals with other stakeholders and encourage the media to report these endeavors.
  - 3) Support ASPA leadership in engaging in national and international best practices to improve government accountability and performance, including best practices in performance management, strategic planning, and program evaluation.
- e. A memorandum of understanding, agreed to by the ASPA National Office and CAP Board leadership, outlines the manner and process by which funds, generated and expended in service of CAP initiatives, are managed. The Financial Management chapter provides details.

## **G. Guidelines for Prospective and Existing Committee Initiatives**

Understanding that members or groups of members—though their leadership positions or other organizational structures—may propose to undertake initiatives of varied purpose, scope, length and resource requirements, the National Council has established the following guidelines for prospective and existing initiatives. These guidelines pertain only to initiatives that are organization-wide in scope or otherwise undertaken through a national organizational structure, such as the Council, standing, and ad hoc committees or other similar structures. It is the Council's intent that they do not apply to Chapters or Sections. Nor do they circumvent prescribed processes, vested with individual ASPA leaders or governance bodies, to create such entities as ad hoc committees.

### **1. Prospective Initiative**

- a. To determine the viability of a proposed initiative, the member(s) shall prepare and submit a one- to two-page prospectus that answers the following questions.
  - 1) Purpose. What is the overall purpose and scope of the proposed initiative? What contribution does it seek to make and/or what problem is it intended to solve?
  - 2) Goals and Objectives. What are the proposed initiative's short- and long-term goals and objectives? What does success look like?
  - 3) Alignment. How does the proposed initiative align with ASPA's strategic direction, values and organizational priorities? What about the initiative requires an organization-wide focus, as opposed to undertaking it through a Chapter, Section or existing program?
  - 4) Broader Environment. What would be ASPA's unique contribution to the issue at hand? Why is ASPA best positioned to make this contribution vs. other organizations operating in this space?

- 5) Management and Resources. How would this initiative be managed from a structural and resource standpoint? Who would lead it, how much of it would be volunteer driven, and what National Office resources (staff time and financial resources) are anticipated?
- 6) Timeline. What is the anticipated lifespan of this prospective initiative? If an expiration is not contemplated, how will it be sustained?

- b. This prospectus shall be provided to the Executive Director, who will review it, offer feedback to the proposer(s) and submit it to the National Council for consideration and/or approval.

## 2. Approved or Existing Initiative

Following the approval and initiation of an organization-wide initiative, those responsible for its management or implementation shall prepare a one-page quarterly report to the National Council outlining the progress made toward achieving the initiative's goals and objectives. At a minimum, the report shall include the following:

- 1) progress made toward achieving the project's one-year (short-term) goals
- 2) accomplishments made during the preceding quarter
- 3) objectives to be accomplished during the following quarter
- 4) identification of developments that have altered the project's approved prospectus, including any changes to goals or objectives; alignment with ASPA's organizational priorities; resources dedicated to it; or expected duration



## **CHAPTER 5**

### **STAFF RESOURCES**

#### **A. Executive Director**

The Executive Director, ASPA's Chief Executive Officer, is responsible for executing ASPA business. The Executive Director manages the National Office to provide support and services to the National Council and membership. The Executive Director also recruits, appoints, develops, and removes employees.

#### **B. Executive Director Succession Plan**

1. There are two primary scenarios in which the Executive Director is unavailable to serve:
  - a. The Executive Director is suddenly unable to perform his/her duties due to unexpected events precipitating the absence. It is expected that this is a short-term absence lasting three months or less. In such cases, the Emergency Succession Plan shall take effect.
  - b. The Executive Director gives notice that he/she plans to vacate the position on a future date or is unable to return to the position due to unexpected events precipitating a long-term absence. In such cases, the Long-Term Succession Plan shall take effect.
2. Emergency Succession Plan. To ensure ASPA's mission continues uninterrupted in the event that the Executive Director is no longer able to perform his/her duties in an emergency situation, the following steps will be taken:
  - a. The President will be informed of the absence, as soon as reasonably possible, by a member of ASPA's executive team.
  - b. The President will convene a meeting of the Executive Committee within 48 hours to affirm the procedures prescribed in this plan or to make modifications, as the Committee deems appropriate.
  - c. An acting Executive Director will be appointed to fulfill the responsibilities of the Executive Director. The acting Executive Director shall have the full authority for decisionmaking and independent action as the regular Executive Director, which may include, but not be limited to, the following: program and project management; leadership of staff and contractors; volunteer management; financial management; resource development; member and stakeholder relations and communications; and governance support. Any limitations or exceptions will be made at the direction of the President, in consultation with the Executive Committee. The acting Executive Director will be accountable directly to the National Council and will coordinate all activities closely with the President and the Executive Committee.
  - d. The President may designate the Director of Marketing, Communications, and Membership to the position of acting Executive Director. The position description will specify that the Director may serve as acting Executive Director in the absence of the Executive Director, unless the President decides otherwise. The individual will have an emergency backup succession plan with designated appointees upon becoming

acting Executive Director or in the event the individual is otherwise unable to serve the functions of Director of Marketing, Communications, and Membership.

- e. Should the President decide that a member of the executive team is not to serve in this capacity, the President may elect to hire an external, interim Executive Director to fulfill the responsibilities of the position.
  - f. The Executive Committee may offer additional compensation to the acting Executive Director based on the organization's financial situation at the time of the absence. This may be offered as a temporary salary increase or bonus amount following the acting Executive Director period. The President and Executive Committee will be responsible for monitoring the acting Executive Director's work while remaining sensitive to special support needs during this temporary leadership period. If the absence is expected to last longer than three months, the Committee will give immediate consideration, in consultation with the acting Executive Director, to temporarily filling and/or allocating resources to the position left vacant and/or functions left unattended by the acting Executive Director.
  - g. Within 48 hours of the acting Executive Director's appointment, the President will notify staff members, the National Council, and membership of the temporary change in executive leadership.
  - h. As soon as possible after the acting Executive Director has begun covering the unplanned absence, he/she shall communicate the temporary leadership structure to key ASPA external supporters. These may include, but are not limited to, the following: legal counsel; vendors; executives of partner and stakeholder organizations; and others, as the Executive Committee determines, in conjunction with the acting Executive Director. If the Executive Director is unable to return to the position, the Long-Term Succession Plan will begin.
3. Long-Term Succession Plan. Leadership transition, a process that begins prior to the Executive Director's departure, presents an opportunity to move forward with a new understanding of the issues that an organization must address. In the event that the Executive Director is unable to return to the position or provides notice of resignation to the National Council, the following steps will be taken:
- a. The President will conduct an organizational assessment with the National Council to develop an understanding of the needs and priorities that ASPA must address when selecting a new Executive Director.
  - b. The President, with the Council's concurrence, will appoint a Search and Transition Committee to manage the recruitment, selection, and transition of the new Executive Director. The Committee shall be composed of at least seven members, including at least three current Council members, and other members designated by the President. The National Council will provide its advice and consent on the appointment of Committee members.
  - c. The Search and Transition Committee will have the following responsibilities:
    - 1) Develop, in consultation with National Office staff, a communication strategy to announce the leadership transition to staff, members, and key external supporters. This should include regular updates to the President, staff, and members on key developments.

- 2) Determine the involvement of the current Executive Director in the search process and, if necessary, appoint an interim Executive Director due to timing of the current Executive Director's departure.
  - 3) Engage nonprofit experts and key stakeholders, consultants, and staff, to help design an appropriate recruitment and selection process. The Executive Committee will approve a budget for this purpose.
  - 4) Work with the Executive Committee, with staff input, to develop the job profile and compensation plan, and review and interview applicants.
  - 5) Recommend an Executive Director candidate and compensation package for the Executive Committee's consideration and recommendation to the National Council.
  - 6) Develop and manage orientation and onboarding for the incoming Executive Director. The process should clarify priorities for the first 90 days, roles and responsibilities of the position, organizational goals, and expectations for monitoring and evaluating performance.
- d. The National Council will review and vote on the Search and Transition Committee's recommendation through the Executive Committee related to hiring and compensating a new Executive Director and CEO.
4. The Executive Director is responsible for developing and implementing a training plan for the acting Executive Director designee to prepare him/her to take on acting Executive Director responsibilities should the Emergency Succession Plan or Long-Term Succession Plan be implemented.
  5. Copies of the plan will be maintained by the President, Executive Director, and acting Executive Director designee. It will be reviewed annually and revised, if needed, by the Executive Committee at the time of the Executive Director's annual performance evaluation. The Committee will seek the Council's concurrence with any adjustments to the plan.

### **C. Personnel Management Objectives**

1. ASPA recognizes the value of a personnel system that includes policies and procedures that facilitate ASPA's effective, efficient, and equitable management. Specific personnel management objectives are addressed in a Personnel Manual provided to all employees. The manual is not a contract for employment. All employment at ASPA is at will.
2. The personnel management objectives are designed to accomplish the following:
  - a. Provide staff with standards for providing quality service to members and public.
  - b. Promote high employee morale by fostering productive working relationships.
  - c. Provide uniform personnel policies and opportunities for development and career growth.
  - d. Provide recruitment and promotion guidelines that maintain quality staff.
  - e. Ensure fair and equal opportunity for qualified persons to enter and progress in the organization, based on performance.
  - f. Ensure all operations are conducted in an ethical and professional manner.

## **D. Equal Employment Opportunity Policy**

1. ASPA's Equal Employment Opportunity Policy provides for the following:
  - a. Provide equal employment opportunity for all personnel.
  - b. Prohibit discrimination against all protected groups, as federal and District of Columbia law defines.
  - c. Promote the full realization of equal opportunity in employment by establishing and maintaining sound personnel and affirmative action programs and practices.
  - d. Provide reports, when requested, on efforts made to recruit members of protected groups, representation of those groups in the workforce, and status of affirmative action plans.
2. ASPA is an equal opportunity employer. ASPA will not discriminate against an employee or applicant for employment because of race, disability, color, religion, sex, age, national origin, marital status, sexual orientation, gender identity, genetic information, or other factors prohibited by applicable law in hiring, promoting, demoting, training, benefits, layoff, termination, compensation, or any other employment decision.
3. ASPA is committed to complying with all applicable provisions of the Americans with Disability Act. It will provide reasonable accommodations to a qualified individual with a disability, as the act defines, who has made ASPA aware of his/her disability, provided such accommodation does not constitute an undue hardship on ASPA.
4. Any employee with questions or concerns about equal employment opportunity in the workplace is encouraged to bring these issues to the Executive Director's attention. Employees found to be engaging in unlawful discrimination or other inappropriate conduct will be subject to disciplinary action, up to and including suspension and termination of employment.

## **E. Affirmative Action Policy**

1. Affirmative action is a positive and deliberate course of action by ASPA, its supervisors, and its employees to ensure that members of all protected groups are considered in representative numbers in the recruitment, hiring, training, and promotion of employees.
2. Affirmative action requires identifying and correcting past discrimination, if any, as well as eliminating barriers to hiring and promotion that may have the present and future effect, although unintentional, of denying equal employment opportunities to protected group members.

## **F. Conflict of Interest Policy**

1. Each staff member has a duty to disclose to the Executive Director the material facts of any proposed ASPA activity or transaction in which such person has any actual or potential conflict of interest. This disclosure must be made prior to any consideration of such proposed activity or transaction.

2. A staff member having an actual or proposed conflict of interest shall not participate in ASPA's deliberation or decision regarding the matter under consideration. However, he/she shall provide ASPA any and all relevant information regarding the matter.
3. The Executive Director shall take such additional action, as may be required, to ensure that the conflict of interest is resolved, and shall maintain a record of the existence and resolution of the conflict. When there is any doubt as to whether a conflict of interest exists, the Executive Director shall resolve the matter.
4. Employees will sign a conflict of interest statement annually, attesting to their understanding of, and adherence to, this policy.

## **G. Sexual Harassment Policy**

1. ASPA is committed to providing a work environment free of unlawful harassment. It prohibits harassment of one employee by another employee, a supervisor, Council member, or third party based on the employee's legally protected status. Actions, words, jokes, or comments about an individual's sex, race, disabilities, ethnicity, age, religion, sexual orientation, or other protected status constituting prohibited conduct include the following:
  - a. Using any ASPA property, such as a bulletin board, computer, or office wall, for purposes of displaying material that is demeaning to, or derogatory of, a person because of his/her sex, race, disability, ethnicity, age, religion, sexual orientation, or other protected status, including material intended as humor. This specifically includes the display in the workplace of sexually suggestive objects or pictures, including revealing photographs.
  - b. Bringing to work for the purpose of sharing with, or communicating to, employees or other persons any material that is demeaning to, or derogatory of, a person because of his/her, sex, race, ethnicity, age, religion, sexual orientation, or other protected status, including material intended as humor.
  - c. Communicating to any employer or visitor to ASPA any comment that is demeaning to, or derogatory of, any person because of his/her sex, race, disability, ethnicity, age, religion, sexual orientation, or other protected status, including material intended as humor.
  - d. Unwelcome sexual flirtations, touching, advances, or propositions when submission to such conduct is either explicitly or implicitly made a term or condition of employment; is used as the basis for employment decisions; or when such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment.
  - e. Forcing an employee to submit to harassing conduct as a basis for any employment decision.
  - f. Graphic or suggestive comments about an individual's body or dress.
2. Any employee who feels that he/she has incurred harassment by an employee, or who becomes aware of such harassment, should promptly bring the matter to the attention of his/her supervisor or the Executive Director. Any individual uncomfortable doing so should bring the matter to the attention of an Executive Committee member. Employees

are encouraged to report harassment before it becomes severe or pervasive. Supervisors who become aware of harassing conduct that may violate this policy must report such conduct immediately to the Executive Director. Any questions about this policy or potential sexual or other harassment should be addressed to such individuals.

3. The Executive Director will make a prompt, thorough, and impartial investigation of all allegations of harassment. Any employee determined, following an investigation, to have engaged in harassment or other inappropriate conduct shall be subject to discipline, up to and including termination, where warranted.
4. Subject to ASPA's need to investigate claims of harassment, such claims will remain confidential to the extent possible. All employees should act responsibly and truthfully in making allegations, responding to allegations, and providing information in an investigation. As provided by law, ASPA will not retaliate against an employee for exercising his or her right to report harassment or for assisting in an investigation of a harassment allegation.

## **H. Whistleblower Policy**

1. ASPA is committed to the highest possible standards of ethical, moral, and legal business conduct. Our Code of Ethics and policies require Officers, Council members, and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As ASPA employees and representatives, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.
2. In line with this commitment and ASPA's commitment to open communication, this Whistleblower Policy provides an avenue for employees to raise concerns and reassurance that they will be protected from reprisals or victimization for whistleblowing in good faith. It is intended to cover serious concerns that could have a large impact on ASPA, such as actions that may lead to incorrect financial reporting, are unlawful, are not in line with ASPA policy, or might otherwise amount to serious improper conduct.
3. No Retaliation. No director, Officer, or employee who, in good faith, reports a violation shall suffer harassment, retaliation, or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline, up to and including termination of employment. This policy is intended to encourage and enable employees and others to raise concerns within ASPA prior to seeking resolution outside ASPA.
4. Reporting Violations. ASPA's open door policy suggests that employees share their questions, concerns, suggestions, or complaints with someone who can address them properly. In most cases, an employee's supervisor is in the best position to address an area of concern. If employees are not comfortable speaking with the supervisor, or not satisfied with the response, they are encouraged to speak with anyone in management whom they are comfortable approaching.

5. Supervisors and managers are required to report suspected violations to the Ethics and Standards Implementation Committee, as that body serves as the Compliance Officer. For suspected fraud, or when employees are not satisfied or uncomfortable with following the open door policy, individuals should contact the Committee directly.
6. Compliance Officer. ASPA's Compliance Officer is responsible for investigating and resolving all reported complaints and allegations and, at its discretion, shall advise the Executive Director and/or the Audit Committee. The Compliance Officer has direct access to the Audit Committee and is required to report to it at least annually on compliance activity.
7. Accounting and Auditing Matters. The Audit Committee shall address all reported concerns or complaints regarding corporate accounting practices, internal controls, or auditing. The Compliance Officer shall immediately notify the Audit Committee of any complaint and work with it until the matter is resolved.
8. Acting in Good Faith. Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated and prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.
9. Confidentiality. Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.
10. Handling of Reported Violations. The Compliance Officer will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated; appropriate corrective action will be taken, if warranted by the investigation.

## **I. Confidentiality**

1. All records, files, and information related to ASPA, its members, and customers are confidential. This information includes, but is not limited to, the following: documents, notes, files, records, oral information, database records, payroll and banking information, and computer files (except in the ordinary course of performing duties on behalf of ASPA). All employees are required to keep such information confidential, both during and following employment with ASPA, unless they have express prior written authorization to disclose such information. Employees are subject to appropriate corrective action, up to and including dismissal, for knowingly or unknowingly revealing information of a confidential nature.
2. Under no condition are employees to divulge their salary information or pay adjustments with their fellow employees, excluding their direct supervisors.

## **J. Grievance Procedures**

1. If a problem arises, the employee's first step is to discuss the situation with his/her immediate supervisor. If the supervisor cannot be of assistance, the Executive Director is available for consultation and guidance. If the problem is not resolved, it can be submitted in writing to the supervisor within 15 days of that meeting.
2. The Executive Director makes any final determination, decision, and/or resolution, except when the grievance is against him/her. In those cases, the grievance will automatically be reviewed by the Executive Committee, which has the final decision. Any decision should be in writing and will usually be issued within 15 days of receipt of the written grievance.

#### **K. Business Travel Expense Policy**

1. ASPA will reimburse employees for reasonable business travel expenses incurred while on assignments away from the normal work location. The Executive Director or his/her designee must approve all business travel in advance.
2. When approved, ASPA will reimburse the actual cost of travel, meals, lodging, and other expenses directly related to accomplishing business travel objectives. Employees are expected to limit expenses to reasonable amounts. To the extent possible, employees will seek to purchase their travel and hotel accommodations using the ASPA credit card and as far in advance as possible.
3. Reimbursable expenses generally include the following:
  - a. air or train fare in coach or economy class or the lowest available fare
  - b. car rental fees, only if compact or mid-sized cars
  - c. shuttle or airport bus fares, where available; costs of public transportation for other ground travel
  - d. taxi or rideshare fares
  - e. mileage costs—at the rate approved for business use by the IRS for income tax purposes—for use of personal cars
  - f. cost of standard accommodations in low- to mid-priced hotels or similar lodging
  - g. costs of meals eaten at employee's expense
  - h. tips not exceeding 20 percent of the total cost of a meal or taxi or rideshare fare
4. Any employee involved in an accident while traveling on business must promptly report it to his/her immediate supervisor. Vehicles leased by ASPA may not be used for personal use without prior approval.
5. When travel is completed, employees should submit a reimbursement request within 10 working days, accompanied by receipts for all individual expenses. If receipts are not available, attach a note so stating. No expenses over \$5 will be reimbursed without a receipt, unless the Executive Director or his/her designee explicitly waives the requirement. ASPA is not obligated to reimburse employees who do not submit reimbursement requests within this timeline.



6. In those instances where the host organization has agreed to reimburse ASPA for travel costs, the employee will notify the Executive Director or his/her designee of the amount to be invoiced.
7. Abuse of the Business Travel Expense policy, including falsifying expense reports to reflect costs not incurred by the employee, can be grounds for disciplinary action, up to and including suspension or termination of employment.

#### **L. Document Destruction Policy**

1. ASPA's computerized memos, database entries, email, and paper files are important records that document business practices and business-related decisions. During internal or external investigations of potential misconduct or unethical behavior, such records can be critical to the inquiry. It is against ASPA's policy for any employee to destroy or delete business documents in an attempt to thwart or influence an investigation. Employees who destroy documents in violation of this policy will be subject to disciplinary action, up to and including suspension and termination, as well as possible legal action. Should employees have questions or concerns about whether certain documents may be destroyed, they are advised to consult the Executive Director prior to taking action.
2. Employees who believe that a colleague is inappropriately handling internal documents should report their concerns as the Whistleblower Policy outlines.

#### **M. Document Retention Policy**

1. This policy applies uniformly to documents retained in any form—that is, it applies to the retention and destruction of both email/electronic materials and material in paper form. Staff who create or maintain information in electronic form are required to act prudently in development and storage of such materials; they must regard electronic information as potentially public material and consider all audiences when addressing sensitive issues in written form.
2. It is ASPA policy to retain documentation necessary to support accounting and financial records, including annual CPA reports, management letters, and tax reports. Drafts or other documents not utilized should not be retained. Documents transmitted as email attachments should be considered separately from the email messages to which they are attached.
3. Procedures for Document Storage. Documents attached to, and transmitted by, email should be stored in machine readable format in the appropriate locations. Email messages containing information pertinent to the completion of a financial statement, such as ASPA's response to a list of questions, should be copied in PDF or other machine-readable format and included with the source documents. Other email messages should be deleted.

#### **4. Retention Periods for Various Categories of Documents**

- a. **Accounting Records**
  - annual general ledger detail 7 years
  - bank statements and cancelled checks 7 years
  - depreciation schedules 7 years
  - employee expense reports 7 years
  - equipment records and invoices 5 years (after disp)
  - payroll files and related reports 7 years
  - vendor invoices and paid bills 7 years
  - W-2 or 1099 forms 7 years
- b. **Administrative Records**
  - accident reports/claims 7 years (after settle)
  - corporate documents, minutes, bylaws Permanent
  - insurance documents and policies 3 years (after term)
  - leases and contracts 7 years (after term)
  - personnel files (post-employment) 7 years (after term)
  - retirement plan documents Permanent
  - annual audited financial reports 7 years
  - tax returns Permanent
  - worksheets/ backup for tax returns 7 years
  - tax exemption documents, applications Permanent
  - reports with government agencies 7 years

Retention periods commence immediately following the date of the financial statements or the taxable year in the case of tax returns.

5. Electronic Document Storage. Generally, an electronic storage system must ensure accurate and complete transfer, indexation, storage, preservation, retrieval, and reproduction of the hard copy or computerized books and records; include reasonable controls to ensure integrity, organization, reliability, and security of the system; enable the ability to reproduce legible and readable hard copies; and provide support for books and records. Books and records must be retained, at a minimum, until the expiration of the statute of limitations for each tax year.
6. Should ASPA become aware, or reasonably anticipate, that a government agency is conducting or will imminently conduct an investigation of ASPA, or that private litigation is pending or threatened even if ASPA is not a party, ASPA shall immediately suspend any scheduled document destruction and take affirmative steps. These steps include notification to all staff to retain all related records, with or without a request being made for such records.

## **CHAPTER 6**

### **FINANCIAL MANAGEMENT**

#### **A. Financial Planning and Reporting**

ASPA's financial statements are prepared in accordance with Generally Accepted Accounting Principles (GAAP). The presentation of the Financial Statements shall follow the recommendation of the Financial Accounting Standards Board (FASB) No. 117, "Financial Statements of Not-For-Profit Organizations." Under GAAP, revenues are classified based on the existence or absence of donor-imposed restrictions. Accordingly, an organization's net assets are classified as unrestricted, temporarily restricted, and permanently restricted.

#### **B. Accounting Policy**

1. ASPA's accounting procedures shall conform to GAAP to ensure accuracy of information and compliance with external standards.
2. Basis of Accounting. ASPA shall utilize the accrual basis of accounting. Accrual basis is the method of accounting whereby revenue and expenses are identified with specific periods of time, such as a month or year, and are recorded as incurred. This method of recording revenue and expenses is without regard to date of receipt or payment of cash.
3. Fiscal Year. The fiscal year shall be January 1-December 31 annually.

#### **C. Internal Control Policy**

1. ASPA shall employ several safeguards to ensure that it complies with standards set forth for nonprofit charitable associations under the 501(c)(3) classification established by the U.S. Internal Revenue Service; and that financial transactions are properly authorized, appropriated, executed, and recorded.
2. Conflict of Interest
  - a. ASPA shall make no loan to any Officer, Council member, or member. To avoid conflicts of interest or even the appearance of impropriety, whenever any Officer or Council member may have any interest or relationship in any transaction, including monetary or services, to be entered into by ASPA, the individual shall make known to the National Council the material facts of the transaction and nature of his/her interest or relationship in advance of such transaction. Each Council member shall sign a conflict of interest statement annually.
  - b. All staff and Council members are expected to comply with more specific conflict of interest and disclosure provisions, as these Policies and Procedures outline.
3. Segregation of Duties. ASPA shall ensure appropriate checks and balances between expenses and disbursements, as operationalized by staff.

#### 4. Lines of Authority

- a. National Council
  - 1) Establishes budget philosophy.
  - 2) Approves annual budget appropriations.
  - 3) Ensures ASPA's financial stability through its fiduciary role.
  - 4) Accepts the annual audit following the Audit Committee's review and approval.
- b. Financial Management Committee
  - 1) Provides guidelines for developing and recommending an annual budget to the National Council; supervises budget execution, once adopted.
  - 2) Recommends any deficit-financing plan to the National Council in advance of implementation.
  - 3) Develops and recommends investment policies to the National Council; supervises execution, once adopted.
  - 4) Conducts a review of ASPA's dues structure every three years.
  - 5) Prepares, with the support of the Executive Director, long-term financial analyses of ASPA's fiscal health and direction; reports these analyses to the National Council.
- c. Audit Committee
  - 1) Seeks proposals from qualified auditing firms to conduct ASPA's audit, conducts interviews of those firms presenting proposals, and selects the firm.
  - 2) Supervises the audit and approves the firm's report of ASPA's financial position on a timely basis.
  - 3) Establishes and oversees whistleblower protections for the receipt of complaints about financial management from Officers, staff, or members.
- d. Executive Director
  - 1) Supervises and executes ASPA's business and affairs.
  - 2) Serves as ASPA's Secretary-Treasurer and is responsible for working with Committees responsible for financial oversight.
  - 3) Has custody of ASPA's funds, maintains its accounts, and serves as fiscal agent for all ASPA business.
  - 4) Prepares and recommends an annual budget to the National Council through the Financial Management Committee.

#### **D. Annual Budget**

- 1. Centrality of the Budget Process. All financial activity is expected to operate within the framework of the ASPA budget system. The Executive Director authorizes ASPA's expenditures based on an annual budget that the Financial Management Committee develops and the National Council approves. The budget is for a fiscal year beginning January 1 and ending December 31 of each year.
- 2. Budget Philosophy
  - a. Budgeted revenues should be above, or equal to, the projected expenses when preparing the annual budget, within the practical limits of knowledgeable estimating and forecasting.

- b. Revenue-producing programs should either generate net income or be revenue-neutral, to the extent practical. As a rule, the return on investment for new revenue-producing programs should be three years or less.
- c. Fees should be consistent with prevailing market conditions and competing sources. To remain competitive with these conditions, fees shall be increased incrementally as these Policies and Procedures provide, if justified by expense increases and market conditions, to maintain net income for revenue-generating programs.
- d. Between budgets, the Executive Director shall have authority to lower budgeted fees for the purpose of offering short-term incentives.

### 3. Budget Development

The Financial Management Committee develops ASPA's annual budget, as follows:

- a. The Executive Director is responsible for preparing the annual budget for the Financial Management Committee's consideration and National Council's approval, and for managing the budget throughout the fiscal year.
- b. The Financial Management Committee meets in a budget planning session in the fourth quarter of the fiscal year to develop its recommendations. The Committee will recommend a program budget with line item detail to the National Council for consideration and approval.
- c. Any Committee or entity requesting unbudgeted expenditures, or anticipating unbudgeted revenues, shall notify the Executive Director at least 30 days in advance of any required National Council or Executive Committee action, unless unusual circumstances necessitate shorter notice. The Executive Director will notify the Financial Management Committee Chair and the Committee will make recommendations to the National Council on all such items.

## **E. Financial Reporting**

- 1. The Executive Director is responsible for providing members of the Financial Management Committee and Audit Committee with current financial statements and investment reports prior to meetings of either Committee and on a schedule developed with each. All financial information is to be fully documented, as are all financial transactions between ASPA and other organizations, including Chapters and Sections.
- 2. The Executive Director will provide the National Council with an annual Statement of Financial Position for ASPA, as well as a Consolidated Statement that integrates the ASPA Endowment.

## **F. Financial Management**

- 1. The Executive Director has full responsibility and authority to approve and monitor all expenditures included in the approved budget.
- 2. In general, the Executive Director has authority to make changes to the budget when an increase in new revenues meets or exceeds the corresponding increase in new expenses;

or the increase in a non-revenue generating cost center does not exceed 10 percent of the total budget allocation for that center.

3. All staff directors have responsibility and authority over the Council-approved budget items in their departments.
4. Purchase and Contracts. The expenditure of ASPA funds shall be consistent with the U.S. Internal Revenue Service 501(c) (3) designation and IRS formal findings.
  - a. With support by a budget appropriation, the National Council authorizes the Executive Director to execute contracts on ASPA's behalf to further its mission. Contracts and formal agreements in support of a new program that involves the expenditure of funds for direct expenses shall be supported by a business plan and approved by the Financial Management Committee.
  - b. Contracts shall be based on fair and equitable competitive business practices. Formal, written proposals shall be secured for purchases exceeding \$10,000 when competition is available. Staff shall formally document the process for selecting a vendor or procured service.
  - c. The staff person delegated to administer a contract shall enforce contract compliance throughout the term of the agreement and report performance deficiencies to the Executive Director for corrective action. Corrective measures shall be documented, and due process provided.

## **G. Program Budget Areas**

### **1. National Conference**

- a. Annual Conference Budget Policy. It is National Council policy that the Annual Conference be revenue generating. The Executive Director develops and presents a conference budget for each conference to the Financial Management Committee. The conference budget includes direct and indirect costs, thus enabling the Committee to present recommendations to the National Council prior to the National Council approving the budget.
- b. Use of Profit. Any profits from an Annual Conference are treated as general revenues for the fiscal year in which the conference takes place; any losses are covered from general revenues. Prior years' experiences with revenues and expenses will be considered in future budgeting decisions.
- c. Sharing Costs and Risks. The Annual Conference chapter provides policy for sharing costs and risks with Sections, Chapters, Committees, and other entities that sponsor conference activities.

### **2. Dues Structure**

- a. The National Council has authority to change the membership dues structure and shall review the dues structure every three years following a Financial Management Committee review.
- b. The Financial Management Committee, in consultation with the Executive Committee, may institute annually a maximum five percent increase for any dues category.

- c. The Executive Director is authorized to institute temporary, experimental deviations from the regular dues structure, when appropriate, for membership marketing.

### 3. Center for Accountability and Performance

- a. CAP is both a quasi-independent enterprise and a constituent unit of ASPA. It is empowered to generate revenue to at least cover its costs and expend available funds to advance its programmatic activities. At the same time, CAP-related revenue and expenses are recognized as ASPA revenue and expenses, which are reflected on ASPA's balance sheet and statement of activities as such.

- b. Council-Restricted Financial Account

- 1) ASPA has established a Council-restricted financial account that provides funds to support CAP programs and activities. As of October 2021, the funds were held by RBC Wealth Management in an interest-bearing account. The balance available for approved and/or budgeted expenses totaled \$51,801 at that time.
- 2) As CAP is a unit of ASPA, this account is ultimately controlled by the National Council. Yet these funds are intended and provided for CAP's use alone.
- 3) Any funds specifically generated by, or donations directed to CAP shall be placed in this account. Disbursements made on behalf of CAP shall be drawn from it. The disbursement of any funds—or the authorization of any legal, financial or binding agreement on behalf of CAP—requires the approval of the CAP chair, CAP executive director and ASPA Executive Director.
- 4) Only the ASPA Executive Director is authorized to engage in a legal, financial or binding agreement on behalf of CAP, including, but not limited to, vendor contracts or purchasing agreements.
- 5) The account's fund balance may be reported at any time, upon CAP's request to the ASPA National Office. Not less than annually, the National Office shall provide the balance to CAP leadership for its planning and budget purposes.

- c. Revenue and Expenses; Budgeting

- 1) As CAP is an ASPA unit, its revenue and expenses are ASPA's. To support ASPA's investment in CAP programs and activities, the CAP executive director shall prepare a proposed annual budget, detailing the center's anticipated/requested revenue and expenses for the following fiscal year. The Council-restricted financial account maintains a cumulative balance available to CAP for budgeted and/or approved expenses; as such, there is no need for CAP to request an annual "appropriation" of funds from the Council.
- 2) The CAP executive director shall submit the proposed annual budget to the National Office no later than November 15 for the following fiscal year, which begins January 1. The National Office will incorporate CAP's proposed revenue and expenses into ASPA's proposed budget.
- 3) The National Office may draw disbursements from the Council-restricted account for budgeted/approved CAP expenses. It also may choose to have these expenses absorbed by ASPA's general operating account,

depending on ASPA's overall financial position, to support and maintain a robust restricted fund available for CAP use.

## **H. Audit**

1. ASPA shall conduct an external, independent audit of its financial records on an annual basis.
  - a. It is customary that the audit partner rotate every five years, the firm every ten.
  - b. Supervision will include at least one meeting or conference call with the auditors independent of staff and Officers.
2. The independent auditor shall report its initial findings to ASPA management in an effort to address any issues.
3. Once the audit is completed, the report shall be forwarded to the Audit Committee, which reports to the National Council. Upon the Committee's review and approval, the annual audit shall be distributed to the National Council for acceptance.
4. ASPA shall complete and submit all financial reports required by applicable federal, state, and local laws to include, but not limited to, the U.S. Internal Revenue Service 990 Form. The completed Annual Form 990 shall be distributed to the Financial Management Committee and National Council prior to filing, whenever practical.

## **I. Financial Policies Pertaining to Governance**

1. Fidelity Bonds. The Executive Director and such other Officers and staff, as the National Council may designate, may be bonded by fidelity bonds in an amount that the National Council sets and ASPA pays. The Executive Director shall ensure that adequate insurance is provided to meet the following insurance needs:
  - a. Directors and Officers Liability Policy
  - b. Business Travel Accident Policy
  - c. Association Professional Liability Policy
  - d. Crime and Cybercrime Policy
  - e. Umbrella Liability Policy
  - f. Business Personal Property, including Real Property, Policy
  - g. Workers Compensation and Employment Liability Policy
2. Risk Management. The Executive Director shall develop and maintain a risk management plan to deter liability claims; maintain adequate insurance against theft, casualty losses, and liability claims; ensure that assets are adequately maintained, protected, and not risked unnecessarily; and ensure that staff responsible for handling ASPA's funds and assets are bonded.
3. Disposition of Assets. In the event that ASPA is dissolved, its assets are to be applied and distributed as follows:



- a. All liabilities and obligations must be satisfied, or adequate provision be made to do so.
  - b. Notice must be provided to the Illinois Secretary of State. Assets not held upon a condition or restriction requiring return, transfer, or conveyance to any other organization or individual are to be distributed by the National Council, in trust or otherwise, to one or more charitable and educational organizations, organized under section 501(c)(3) of the U.S. Internal Revenue Code, of a similar or like nature to ASPA.
4. Non-Receipt of Salary. With the exception of the Executive Director and his/her normal salary, no Officer or Council member shall receive, directly or indirectly, any salary or emolument or other personal financial gain as a result of activities that ASPA directly sponsors.

## **J. Reserve Funds**

It is ASPA policy to maintain two reserve funds—a Board-Designated Reserve and Operating Reserve—along with any additional funds that the National Council specifically authorizes for any approved centers.

1. Board-Designated Reserve Fund. There shall be a Board-Designated Reserve Fund established for the purposes of assuring that ASPA is in a position to address financial emergencies. The fund's long-term goal is 25 percent or greater of operating expenses. The Financial Management Committee is charged to include provisions in annual budgets to move toward this goal, whenever feasible, at a level of 2.5 percent of operating reserves or greater annually, beginning with the FY 2017 budget. Proposed expenditures from the fund shall primarily be for non-recurring expenses and must be reviewed by the Financial Management Committee. Monies may be expended from the fund following an affirmative vote at two consecutive National Council meetings, except in emergency situations for which the Executive Committee may authorize expenditures, which shall be reported to the National Council immediately.
2. Operating Reserve. Remaining ASPA funds shall be considered general operating reserves and available to meet cash flow and other contingencies under the Executive Director's direction, consistent with ASPA budgeting and operating principles.
3. Investment of Reserves. The Financial Management Committee is charged with developing investment guidelines for all reserve funds and for supervising their application, under the Executive Director's administration.

## **K. ASPA Tax Status**

1. Tax Exemption 501(c)(3). The IRS has ruled that ASPA and its subordinate Chapters and Sections come under the 501(c)(3) tax exemption category as an educational organization. Exemption from federal income tax was granted by the Baltimore, Maryland office of the IRS. The letter, dated March 31, 1981, is available at the National Office. By submitting this letter to local postmasters and state and local sales tax

authorities, Chapters and Sections can get the advantages of tax exemption under 501(c)(3).

2. Form 990. It is ASPA policy for the National Council to review ASPA's IRS Form 990 prior to its being filed with the IRS.

#### **L. ASPA Endowment**

The ASPA Endowment was established for the purpose of fundraising solicitation. It is a separate legal entity with its own articles of incorporation and bylaws. The Endowment Board, nine members appointed for six-year staggered terms by successive Presidents, manages the Endowment in its "sole and absolute discretion." The Endowment Board has its own policies.

1. According to its articles of incorporation, the purposes of the ASPA Endowment are as follows:
  - a. Operate exclusively for charitable, educational, and scientific purposes, including the improvement of the policies, processes, personnel, and institutions of public administration.
  - b. Promote scholarly inquiry and discussion concerning public administration.
  - c. Sponsor and stimulate research and publication on matters relating to public administration.
  - d. Sponsor other activities designed to improve the art and science of public administration.
2. The Endowment bylaws do not speak further to its purpose. As there is limited specification, it is ASPA policy that all funds raised through initiatives sponsored or promoted by ASPA, and held by the Endowment Board, are designated for use in support of relevant ASPA programming.
3. The Endowment Board Chair is invited to meet at least annually with the National Council to report on fundraising, investment policy, and ASPA programming support.
4. It is the National Council's understanding that a drawdown of four percent of asset value of general reserves held by the Endowment Board will be available for use in ASPA programming annually.

## **CHAPTER 7 ELECTIONS**

ASPA holds elections annually for a variety of leadership positions. Elections are held on the following schedule:

1. President-Elect: every two years
2. District Representative: every year, with one of three seats from each electoral district open for election
3. Student Representative: every year
4. International Director: every three years

### **A. Quorum**

Five percent of the eligible electorate shall constitute a quorum for elections, ballot issues, and amendments to the bylaws.

### **B. National Council Eligibility and Nomination**

1. To be eligible for nomination to the National Council, an individual shall be a member in good standing and must have been a member for at least one year immediately prior to his/her nomination.
  - a. Memberships that have lapsed will be considered to be continuing memberships for purposes of eligibility for office for a grace period of three months, provided full dues are paid by the end of this grace period.
  - b. District Representative: A candidate for District Representative shall have his/her primary residence or place of employment in the electoral district from which he/she is nominated and is to stand for election.
  - c. Student Representative: A candidate for Student Representative must hold the Student or New Professional member category at the time of their nomination.
2. Members in good standing will be invited to submit suggestions of individuals to the Nominating Committee for consideration as Council members. The Committee shall consider these suggestions and those from any other source. The National Council affirms that "any other source" includes the Committee members themselves.
3. To inform its process, and prior to determining the slate of nominees, the Nominating Committee shall meet with the Executive Director or the Executive Director's designee to gain the National Office's perspective on the organization's needs and the manner in which the candidates help to meet those needs.
4. The Nominating Committee shall nominate a minimum of one individual to stand for election to each Council seat. Incumbent Council members eligible to seek a second consecutive full term shall be considered for, but are not guaranteed, renomination. The incumbent's attendance and participation in Council meetings may be considered in determining renomination. Prior to determining the slate of nominees, the Nominating

Committee shall confer with the President and Executive Director or their designee to gain perspective on the incumbent's contributions to the governance of ASPA.

5. Following ASPA's prompt and official announcement of the nominees, the names of consenting members may be placed in nomination by petitions signed by at least 25 members in good standing of the electoral district and/or electorate in which the candidate wishes to run and presented to the Nominating Committee no later than 30 calendar days following the official announcement of the Nominating Committee slate.
6. Members appointed to serve on the Nominating Committee and who have accepted their appointment are not eligible to be candidates for the National Council for that election cycle, either by nomination or petition, even if they resign from the Committee.

### **C. President-Elect Eligibility and Nomination**

1. To be eligible for nomination for President-Elect, an individual shall be a member in good standing and must have been a member for at least one year immediately prior to his/her nomination.
2. Members in good standing will be invited to submit suggestions of individuals to the Nominating Committee for consideration as President-Elect during the years when this position is to be elected. The Committee shall consider these suggestions and those from any source. The National Council affirms that "any other source" includes the Committee members themselves.
3. The Nominating Committee shall nominate a minimum of one individual to stand for election as President-Elect.
4. Following ASPA's prompt and official announcement of the nominee(s), the names of consenting members may be placed in nomination for President-Elect by petitions signed by at least 50 members in good standing and not more than 75 percent of the signatures coming from one electoral district and not less than 25 percent from at least three other electoral districts, and presented to the Nominating Committee no later than 30 calendar days following the announcement of the slate.
5. Members appointed to serve on the Nominating Committee and who have accepted their appointment are not eligible to be candidates for President-Elect for that election cycle, either by nomination or petition, even if they resign from the Committee.

### **D. Nominating Committee**

1. There shall be a Nominating Committee that consists of the three most recent Past Presidents who are members in good standing and able and willing to serve, plus four members from ASPA's different electoral districts who are not members of the National Council or Past Presidents. The President shall appoint three members and the President-Elect shall appoint one member, with the Council's consent. If three Past Presidents are not available, the President may appoint a sufficient number of other members, with the

Council's consent, to complete the Committee. An announcement of the appointment of the Committee shall be made promptly.

2. The Nominating Committee members shall serve a one-year term and shall be appointed not less than 120 calendar days prior to each annual membership meeting. The longest serving of the three most recent Past Presidents on the Nominating Committee shall serve as Chair.
3. The Nominating Committee shall nominate a minimum of one candidate for President-Elect and shall nominate one candidate for each Council vacancy when an eligible person is recommended to the Committee for consideration as a Council member. It also shall certify the eligibility of any members whose names may be placed in nomination through the petition process that the bylaws provide.
4. The Nominating Committee shall present a slate of nominees that is representative of the various groups and professional interests within ASPA, seeking a balance of academic and practitioner, including international, non-profit, and all levels of government, and considering names suggested to it by the membership and other sources. The Committee shall give strong consideration to an individual's contributions to ASPA and the public service.
5. National Council policy charges the Committee to present a slate of candidates that is diverse relative to race, gender, ethnicity, disability, veteran status, gender identity, sexual orientation, and other important forms of diversity.
6. The National Council charges the Nominating Committee to seek information about each prospective nominee's leadership attributes, demonstrated commitment to ASPA, and reputation within the field. This information should inform the Committee's deliberations; it should supplement, not substitute, the nomination materials submitted on behalf of the candidate or the background materials collected by staff to inform the committee's work.

#### **E. Eligible Electorates**

1. The electorate eligible to vote is composed of those individual members whose membership is current as of the date of the start of the balloting period and remains current through the end of such period. At least 30 calendar days in advance of the start of the ballot period, ASPA will notify all members whose membership is due to expire prior to, or during, the balloting period to alert them to this timing.
2. District Representative: The National Council members elected from ASPA's electoral districts shall be elected for a three (3) year term with one (1) member elected each year from each electoral district by the members whose primary address is within such electoral district.
3. Student Representative: The Council member representing ASPA's student membership shall be elected by members who hold the Student and New Professional membership categories.

4. International Director: The Council member representing ASPA's international membership shall be elected by members whose primary address is outside the United States.

## **F. Election Process**

1. No later than 90 calendar days prior to the annual meeting of the membership, the Executive Director shall provide each member in good standing a ballot that includes the candidates for Council members and biographical information on each one. Ballots must be received by the National Office by the deadline stated on the ballot. The ballot may be provided electronically. A printed ballot will be mailed via the U.S. Postal Service to each member in good standing who requests one or for whom ASPA does not have an email address on record.
2. The nominee receiving the highest number of votes for each office shall be elected. In the event of a tie vote, the winner will be determined by drawing of lots or flip of the coin by the President.
3. If an individual is elected to the National Council but declines to take his/her seat, the Executive Director shall declare the candidate receiving the next highest number of ballots to be the winner. Should there be no other candidate for the office, the matter shall be treated in the fashion of a resignation; the President shall appoint a person to the seat, with the advice and consent of the National Council, to serve the vacated term.
4. In the event of a contested election, the National Council, in its sole and absolute discretion, shall have final authority to declare the results of the election.
5. Staff will implement the following procedures for the conduct of ASPA's elections:
  - a. Prepare and implement the annual elections schedule/timeline consistent with bylaws provisions.
  - b. Issue calls for nominations distributed organization-wide via ASPA's e-communications platforms, including biweekly newsletters, standalone communications and [www.aspanet.org](http://www.aspanet.org). These communications will be recurring throughout the duration of the nominations period.
  - c. Receive and prepare candidate materials for the Nominating Committee's consideration; verify the eligibility of candidates for the positions for which their names have been submitted.
  - d. Notify members of those individuals nominated by the Nominating Committee and inform them of the petition process. These notifications will be conducted via ASPA's e-communications platforms and will be recurring throughout the duration of the petition period.
  - e. Verify the eligibility of signatures for petition candidates, as applicable.
  - f. Forward ASPA's election campaign rules to all nominees upon notice of their nomination and to petition candidates who successfully obtained the required number of signatures, if applicable.

- g. Prepare and distribute email messages on behalf of nominees and upon their request. Nominees shall reimburse ASPA for the expense of these messages; the costs will be determined and shared with them prior to distribution.
6. The following rules apply for the conduct of ASPA's elections:
- a. The order of names on the election ballots shall be alphabetical.
  - b. There is no prohibition against endorsements of nominees by Sections, Chapters, individuals, or groups of individuals.
  - c. No ASPA money or resources may be used to promote any candidacy.
  - d. Chapter and/or Section members must be notified on a timely basis relative to election endorsements made by Chapter and/or Section boards or Committees.
  - e. The National Office will not share member/contact information with candidates.
  - f. The President, President-Elect, and individual Nominating Committee members are not to endorse nominees.

#### **G. Appeals Process**

- a. Prepare and implement the annual elections schedule/timeline consistent with bylaws provisions.
- b. Only affected candidates may file appeals with regard to election procedures or outcomes. All appeals shall be filed in writing with the President by the fifteenth calendar day following the date that the Executive Director files the results of the election with the President. The notice to candidates of the election results shall include notice of the 15-day appeal period.
- c. In the event of a contested election, the National Council, in its sole and absolute discretion, shall have final authority to declare the results of the election.

## CHAPTER 8

### SECTIONS

ASPA members have diverse interests in public administration. In addition to traditional issues of management, public administration is concerned with a range of programmatic and specialized areas. To facilitate these varied interests, ASPA established Sections in 1973. Sections represent separate, identifiable functional specialties or interest areas within the general field that are national and/or international in scope.

#### A. Section Descriptions

##### 1. Association for Budgeting and Financial Management (Est: 1979)

The Association for Budgeting and Financial Management (ABFM) promotes the professional development of budgeting and financial management in the public and non-profit sectors. Embracing operational and theoretical concerns, ABFM addresses issues of reform and adjustment of budgeting and financial processes to meet the administrative challenges of providing public services at all governmental levels. It hosts an annual conference and provides to its members a quarterly journal, *Public Budgeting & Finance*, and newsletter, *Line Item*.

##### 2. LGBT Advocacy Alliance (Est.: 2013)

The LGBT Advocacy Alliance's mission is to provide a safe and supportive environment within ASPA and its partner organizations by focusing on equal rights, diversity, and workplace issues; providing policy assistance through research and education on critical/relevant issues; serving as an information and resource clearinghouse; facilitating and supporting community engagement/development; coalition building; and increasing awareness of cultural competency.

##### 3. Section for Women in Public Administration (Est.: 1984)

The Section for Women in Public Administration (SWPA) develops programs and projects that promote the full participation and recognition of women in all levels and areas of public service. SWPA publishes an award-winning newsletter; awards grants and scholarships to Chapters and members; and hosts an annual awards breakfast in conjunction with the Annual Conference.

##### 4. Conference of Minority Public Administrators (Est.: 1977)

The Conference of Minority Public Administrators (COMPA) is devoted to providing professional development opportunities for all racial minority public administrators. COMPA works to eliminate the institutional and social barriers to the professional development and employment of minority public administrators. Its specific goals are to provide leadership in the elimination of discriminatory practices in the public sector; promote recruitment of minorities for leadership positions at all levels of government; provide a forum to promote, strengthen, and refine skills of minority administrators; and



develop and maintain a roster of skilled minority professionals in public administration. It sponsors an annual conference and co-sponsors a journal for its members, *Journal for Public Management and Social Policy*.

#### 5. Section on African Public Administration (Est.: 2017)

The Section on African Public Administration (SAPA) advances the science, processes, and art of public administration on the African continent, as well as the equality of opportunity of all persons through public administration. SAPA seeks to liaise with governments on the African continent to support public administration organizations in specific nations; establish relationships with international development agencies serving in Africa; and build the capacity of public administration organizations. Among its resources are a newsletter on public administration in Africa and professional development workshops.

#### 6. Section on Chinese Public Administration (Est.: 2006)

The Section on Chinese Public Administration (SCPA) encourages and supports activities and programs on Chinese public administration. Through its journal, *Chinese Public Administration Review*, panels and workshops, SCPA provides professional commentary to government organizations on problems and issues of common interest. It encourages schools of public affairs and administration to develop appropriate academic requirements and courses in cooperative programs with Chinese Universities to equip future Chinese public managers with the skills required for job performance and accountability.

#### 7. Section on Complexity and Network Studies (Est.: 2006)

The Section on Complexity and Network Studies (SCNS) contributes to progressive theory and practice through examining new ideas that address central issues of public service and public service management. SCNS explores the links between modern scientific theory and the fields of public administration and social theory, including the interchange of ideas on topics like chaos theory, complexity theory, nonlinear dynamics, autopoiesis, second-order cybernetics, thermodynamics, fuzzy logic, self organization. and dissipative systems.

#### 8. Section on Criminal Justice Administration (Est.: 1974)

The Section on Criminal Justice Administration (SCJA) advances professional development of criminal justice management from theoretical and operational perspectives. SCJA's scope is broad, including traditional elements of law enforcement as courts and corrections and private sector elements like industrial security, executive protection, and dispute resolution.

#### 9. Section on Democracy and Social Justice (Est.: 2008)

The Section on Democracy and Social Justice (SDSJ) explores administrative and political alternatives at all levels of government to promote constructive social change through teaching, research, practice, conferences, and publications. In addition to hosting an interactive website, SDSJ publishes an award-winning newsletter, *Social Justice*, to which members and others contribute stories of teaching, research, and practice related to

democracy and social justice. SDSJ also presents an annual book and best paper award that address public administration, democracy, and social equity and/or social justice.

#### 10. Section on Effective and Sound Administration in the Middle East (Est.: 2012)

The Section on Effective and Sound Administration in the Middle East (SESAME) seeks to expand the understanding of public administration in the Middle East and in relation to public administration in other countries. SESAME facilitates relationships with public administration academics and practitioners at institutional and individual levels; encourages research and comparative research to contribute to development of public administration's body of knowledge; and conducts programs and other activities.

#### 11. Section on Emergency and Crisis Management (Est.: 1986)

The Section on Emergency and Crisis Management (SECM) seeks to improve the quality of emergency management in the public sector. Within numerous statutes, regulations, and ordinances, emergency management can be defined as the process of developing and implementing policies concerned with mitigation, preparedness, response, and recovery. SECM brings emergency management into the mainstream of public administration and increases its effectiveness at all levels of government. It publishes a newsletter for those with a specialized interest in the field.

#### 12. Section on Environmental and Natural Resources Administration (Est.: 1976)

The Section on Environmental and Natural Resources Administration (SENRA) assists public officials, educators, and interested citizens in meeting the tremendous challenge of protecting and wisely managing the nation's natural resources. This effort requires a closer relationship of the large number of local, state, and national organizations responsible for natural resources and environmental administration.

#### 13. Section on Ethics and Integrity in Governance (Est.: 1997)

The Section on Ethics and Integrity in Governance (SEIGOV) promotes the empowerment of ASPA members "to choose the ethical way and generate a public service culture committed to ethical excellence." SEIGOV affirms the spirit of professionalism in technical competence and moral character by involving the membership in a sustained, self-supporting effort to cultivate pertinent ethical issues, nationally and internationally, for government and the non-profit sector. It offers such benefits as *Public Integrity*, the ASPA-owned journal; a newsletter; and panels, workshops, and symposia at regional and national conferences. It established a listserv and series of awards

#### 14. Section on Health and Human Services Administration (Est.: 1974)

The Section on Health and Human Services Administration (SHHSA) spans the broad areas of health, aging, social services, and other human service programs across the spectrum of government, non-profit community and associations, foundations, and for-profit management. SHHSA advocates the interests of emerging and seasoned human services

administrators, managers, and executives in the career and political arenas. It provides the *Journal of Health and Human Services Administration*, published quarterly, to members.

#### 15. Section on Historical, Artistic and Reflective Expression (Est.: 1992)

The Section on Historical, Artistic and Reflective Expression (SHARE) is devoted to developing administrative insights through the arts and humanities. Utilizing such unorthodox formats as fiction, poetry, critique, art, and commentary, SHARE provides a foundation for an interdisciplinary dialogue covering a large range of public administrators' concerns. Members receive the journal *Public Voices*, which SHARE co-sponsors with the National Center for Public Performance at Rutgers University-Newark.

#### 16. Section on Intergovernmental Administration and Management (Est.: 1979)

The Section on Intergovernmental Administration and Management (SIAM) is active in developing links among federal, state, and local governments through its newsletter, occasional papers on intergovernmental topics, and the Deil Wright Symposium it organizes and sponsors at the Annual Conference. SIAM fosters opportunities for liaison through its annual meeting, regional network, and national membership directory. It recognizes outstanding students and distinguished members of the profession through its awards program. Members receive the journal, *State and Local Government Review*, which SIAM sponsors with the Carl Vinson Institute at the University of Georgia.

#### 17. Section on International and Comparative Administration (Est.: 1973)

The Section on International and Comparative Administration (SICA) comprises practitioners and academics involved with, or interested in, international public administration activities. SICA is concerned with promoting research and communication of public administration with an international and comparative focus, plus development management. It organizes and sponsors the Fred Riggs Symposium at the Annual Conference. Members receive the journal, *International Public Management*, which SICA sponsors with the International Public Management Network.

#### 18. Section on Korean Public Administration (Est.: 2010)

The Section on Korean Public Administration (SKPA) is organized to meet the research needs of public administration scholars and practitioners between South Korea and the United States. SKPA organizes an effective network of those interested in cooperation in public administration research, especially following the needs of Korean practitioners, professors, and students pursuing degrees and/or doing research in the United States. It aims to advance the profession, extend its influence, create opportunities for individual practitioners, and, most important, serve the public.

#### 19. Section on Nonprofits (Est.: 2012)

The Section on Nonprofits seeks to foster the development of theory, understanding, and practice related to nonprofit, voluntary, and nongovernment organizations, and their roles in policy development and implementation, cross sector collaboration, and creation of civil

society. It fosters professional growth and communication among academics and practitioners on these topics. It provides a forum for ongoing dialogue regarding the special environment and challenges that nonprofit organizations face.

#### 20. Section on Personnel Administration and Labor Relations (Est.: 1981)

The Section on Personnel Administration and Labor Relations (SPALR) promotes a full understanding of the personnel management concerns of public sector professionals. It focuses on human resource planning; job design, compensation, and incentives; affirmative action; recruitment, selection, and promotion; labor management relations; performance appraisal; productivity enhancement; employee health and safety; discipline; and employee constitutional rights. SPALR provides its members a research-oriented journal, *Review of Public Personnel Administration*, published quarterly, and *Public Personnel Management*. It organizes and sponsors a symposium at the Annual Conference.

#### 21. Section on Procurement and Contract Management (Est.: 2016)

The Section on Procurement and Contract Management (SPCM) fosters the development of theory, understanding, and practice related to public procurement, contract administration, and project management, and their roles in policy development and implementation, cross sector collaboration, and creation of civil society. SECM supports professional growth and communication among academics and practitioners.

#### 22. Section for Professional and Organizational Development (Est.: 1975)

The Section for Professional and Organizational Development (SPOD) is dedicated to the personal, professional, and organizational growth and development of its members by offering the latest theoretical findings and practical applications in the field. SPOD is frequently asked to share its expertise in training and development with other Sections. Publications include the journal, *Public Administration Quarterly*, and a newsletter. These are vehicles through which members share research findings and practical experiences.

#### 23. Section on Public Administration Education (Est.: 1979)

The Section on Public Administration Education (SPAEE) promotes awareness of public affairs and administration educational issues; provides a forum for exchanging information about innovative education techniques across a wide range of topics; and contributes to the professional development of practitioners and academics.

#### 24. Section on Public Administration Research (Est.: 1989)

The Section on Public Administration Research (SPAR) promotes excellence in governmental and academic research on public administration. SPAR's approach is comprehensive, involving research on city, county, special district, state, and national public administration, as well as research on public-private partnerships and third-party government. It provides members the journal, *American Review of Public Administration*.

#### 25. Section on Public Law and Administration (Est.: 1990)

The Section on Public Law and Administration (SPLA) is engaged in developing the relationship between law and administration to invigorate public management and government performance. By enlarging the awareness of the responsibilities, activities, and authorities of professionals working in these areas, SPLA stimulates professional development activities to enhance this interaction.

#### 26. Section on Public Management Practice (Est.: 2012)

The Section for Public Management Practice (SPMP) provides a space for those holding the Certified Public Manager designation and others interested in excellence in public service to meet, network, explore greater opportunities, and continue to grow professionally.

#### 27. Section on Public Performance and Management (Est.: 1975)

The Section on Public Performance and Management (SPPM) promotes the advancement of management and productivity in public and not-for-profit organizations. SPPM coordinates panels and workshops at international, national, and regional conferences and facilitates exchange of experiences and research results about management techniques, evaluation methods, productivity enhancement, policy analysis, and information technology. It co-sponsors the journal, *Public Performance and Management Review*, with the National Center for Public Performance at Rutgers University-Newark.

#### 28. Section on Science and Technology in Government (Est.: 1976)

The Section on Science and Technology in Government (SSTIG) assists public administrators learn about the uses and limitations of science and technology in government. SSTIG also promotes awareness of programs involving science and technology to permit use of results to improve governmental efficiency and effectiveness. Members receive a Section newsletter.

#### 29. Section on Transportation Policy and Administration (Est.: 1992)

The Section on Transportation Policy and Administration (STPA)'s goals are to organize a transportation focus at national, regional, and Chapter meetings; develop information to assist federal, state, and local policymakers; and prepare policy statements. STPA publishes a newsletter, sponsors panels at regional and national conferences, and provides the journal, *Public Works Management and Policy*, to its members.

#### 30. South Asian Section for Public Administration (Est.: 2019)

The South Asian Section for Public Administration (SASPA) advances research and study on public administration and policy in South Asia, plus international and comparative analysis of the region's administrative systems. SASPA promotes global and comparative perspectives by increasing awareness and understanding of the factors affecting policy and administration in South Asia. Its specific goals are to provide a platform for networking among scholars and practitioners interested in these issues and policies and encourage collaborative research between South Asian scholars and their international counterparts.

### 31. Students and New Administration Professionals Section (Est.: 2016)

The Students and New Administration Professionals Section (SNAPS) provides networking and professional development activities for students and new professionals. To this end, SNAPS provides a forum for ongoing dialogue regarding the special environment and challenges that students and new professionals face; facilitates programs to encourage their professional growth and development; and supports them through networking, mentoring, and continuing education.

## **B. Section Dues Structure**

Association for Budgeting and Financial Management	\$25.00
LGBT Advocacy Alliance	\$10.00
Section for Women in Public Administration	\$17.00 (stu)
	\$25.00 (reg)
Conference of Minority Public Administrators	\$35.00
Section on African Public Administration	\$30.00
Section on Chinese Public Administration	\$15.00 (stu)
	\$35.00 (reg)
Section on Complexity and Network Studies	\$15.00
Section on Criminal Justice Administration	\$39.00
Section on Democracy and Social Justice	\$10.00 (stu)
	\$30.00 (reg)
Section on Effective and Sound Administration in Middle East	\$10.00
Section on Emergency and Crisis Management	\$15.00
Section on Environmental and Natural Resources Administration	\$ 0
Section on Ethics and Integrity in Governance	\$45.00
Section on Health and Human Service Administration	\$21.00
Section on Historical, Artistic and Reflective Expression	\$20.00
Section on Intergovernmental Administration and Management	\$30.00
Section on International and Comparative Administration	\$40.00
Section on Korean Public Administration	\$19.50
Section on Nonprofits	\$20.00
Section on Public Performance and Management	\$26.50
Section on Personnel Administration and Labor Relations	\$25.00 (stu)
	\$30.00 (reg)
Section on Procurement and Contract Management	\$10.00
Section for Professional and Organization Development	\$30.00
Section on Public Administration Education	\$10.00
Section on Public Administration Research	\$36.00
Section on Public Law and Administration	\$ 9.00
Section on Public Management Practice	\$10.00
Section on Science and Technology in Government	\$12.00
Section on Transportation Policy and Administration	\$35.00
South Asian Section for Public Administration	\$25.00
Students and New Administration Professionals Section	\$10.00

## **C. Establishment of a Section**

### **1. Submission of Application**

One or more members in good standing may propose establishing a Section by completing and submitting an application to the National Council through the Executive Director. The application must include, but not be limited to, the following elements:

- a. statement of purpose explaining how the proposed Section's goals and objectives are consistent with ASPA's broad purposes and complement existing Sections' goals and objectives
- b. analysis of actual and projected ASPA membership interest in the proposed Section; a list of at least one percent of members in good standing who commit in writing to joining the Section, pay the Section membership fee within 30 days of its creation, and pledge to remain a member of the Section for at least one full year upon its establishment; and a membership recruitment plan
- c. description of short- and long-term program goals, activities, and programs that the new Section will undertake upon its establishment
- d. proposed budget for the Section's first two years of operation
- e. proposed Section leadership, which shall be a temporary executive committee
- f. Section bylaws, which must include the following:
  - 1) wording concerning IRS 501(c)(3) tax exemption and related issues
  - 2) procedures for the nomination and election of Section directors and Officers
  - 3) requirement that all Section directors, Officers, and members be ASPA members
  - 4) establishment of a fiscal year that agrees with ASPA's fiscal year (January 1 to December 31)
  - 5) statement that the Section may be established, disestablished, or reestablished in the Council's sole discretion
  - 6) statement that amendments to Section documents may only be made with the Council's advance approval
  - 7) statement that the Council reserves the contractual right at any time to bar the Section from using "American Society for Public Administration" in its name when any Section acts in a manner detrimental to ASPA's reputation or goodwill

## 2. Review and Approval of Application

- a. The Executive Director will review the proposed Section's application and assess its feasibility, consulting Section Chairs and stakeholders, as appropriate. At the conclusion of this review, the Executive Director will present and/or recommend the application to the National Council for its consideration and/or approval.
- b. The Council may approve the permanent establishment of a Section using standards it deems appropriate. Alternatively, it may approve establishment on a provisional basis, should it so desire. To achieve permanent status, the Section must successfully meet specific criteria within a specified timeline that the Council establishes. This includes the requirement, provided above in Section C1(b), that at least one percent of the membership supporting the establishment of the Section shall be a member of that Section during at least the first year.
- c. Sections shall be domestic or foreign juridical persons, legally separate and distinct organizations from ASPA. In approving permanent establishment of a Section, the Council must approve in advance legal and other documents organizing each proposed Section as a juridical person. The documents shall serve as a matter of contract between the Section and ASPA to receive the benefits of being affiliated with ASPA as a Section, as well as Internal Revenue Service-required provisions.
- d. The Council may determine additional procedures for establishment of a Section.



## **D. Section Governance**

### **1. Membership**

All members, Officers, and directors of a Section must be ASPA members in good standing. ASPA reserves the right to revoke Officers' and directors' roles, should individuals serving in those capacities not renew their ASPA membership in a timely fashion (at most 60 days past expiration). It is the responsibility of Section leaders, specifically the Chair, to monitor the Officers' and directors' membership status and enforce the membership requirements. ASPA staff periodically send reminders to Section leaders regarding lapses. ASPA expects its leaders to stay informed on the subject. Should a leader's role be revoked due to a membership lapse, the Chair should encourage the member's immediate membership renewal or must replace the leader with a Section member in good standing.

### **2. Elections and Leadership**

- a. Each Section shall provide for the nomination and election of its Officers in accordance with its bylaws approved by the National Council. The bylaws shall spell out the Officers' duties.
- b. Copies of all official Section documents, including bylaws, shall be provided to the Executive Director upon their being formalized or otherwise approved.

### **3. Performance Criteria**

Each Section is responsible for meeting requirements and performance standards that the National Council may establish. The current standards are the following:

- a. submission of an annual finance and program report, completed on a standardized form provided by the National Office, within 60 days of the Section's fiscal year close—i.e., the report is due by March 5 for each preceding fiscal year
- b. submission of a list of elected and appointed leadership on an at least annual basis and immediately after an election or leadership transition
- c. monitoring leaders' membership status to ensure they remain in good standing
- d. conduct of elections not less frequently than every two years or otherwise in accordance with bylaws
- e. inclusion of the National Office as a recipient of all communications sent to the Section-wide membership
- f. membership totaling at least one percent of ASPA's total membership unless otherwise exempted by the Executive Director
- g. establishment of a bank account for all Section business and submission of account details to the National Office for recordkeeping purposes
  - 1) Bank accounts should be maintained with the same financial institution for as long as possible. Should a Section choose to move its account to a new financial institution, it should alert the National Office prior to doing so. Should a Section move its bank account more than once in a 12-month period, rationale must be provided to the National Office and an administrative fee of

\$50 will be deducted from the Section's next rebate to accommodate the work required at the National Office to facilitate this adjustment.

#### 4. Amendment to Section Bylaws

- a. Any proposed amendment to Section bylaws must be approved in the manner and process that the Section bylaws provide.
- b. Upon Section approval, the proposed amendment must be submitted to the National Office for consideration. The Executive Director may approve a proposed amendment that is administrative in nature; administrative amendments include, but are not limited to, changes that align the bylaws to changes in existing or revised ASPA bylaws or Policies and Procedures. The National Council approves a proposed amendment that is substantive in nature; substantive amendments include, but are not limited to, changes in the Section's mission or scope, dues, or name.

#### 5. Memoranda of Understanding

A memorandum of understanding (MOU) is an informal agreement between two organizations regarding their roles as they agree to work together. The United Nations provides a basic definition: "An international instrument of a less formal kind. It often sets out operational arrangements under a framework international agreement. It is also used for the regulation of technical or detailed matters." The Cambridge Dictionary defines it as "a document that records the details of an agreement between two companies or organizations, which has not yet been legally approved."

A Section wishing to initiate an MOU with an external organization shall follow these guidelines:

- a. An MOU will be signed between the ASPA Section and a cooperating association only for a specific initiative, such as a conference, research endeavor or other collaboration.
- b. The MOU will outline specific roles of the relationship and commitments made by each party.
- c. The MOU will state the expected outcome of the partnership.
- d. The MOU must specifically state the end date of the relationship, at which time the involved parties may determine to extend the MOU if appropriate.
- e. Once the MOU is determined, it should be submitted to ASPA staff for review and, if needed, the executive director will bring it to the National Council for consent.
- f. The Section must submit the signed document to ASPA.

The National Office can provide an MOU template to interested Sections.

### **E. Disestablishment/Reestablishment of a Section**

#### 1. Disestablishment

- a. If the Section was proposed but not a separate juridical person, the National Council may disestablish it at any time following consultation with the Executive Director.

- b. If the Section is a separate juridical person, the National Council may disestablish it at any time following consultation with the Executive Director, but only where members of the Section request such an action.
- c. If the Section is a separate juridical person, the National Council may disestablish it for its failure for three years to meet the performance standards for Sections.
- d. The National Council, in its sole and absolute discretion, may determine additional procedures for the disestablishment of a Section.

## 2. Reestablishment

- a. Whenever any provisional or permanent Section has been disestablished, upon application to the Executive Director and favorable approval by the National Council, the Section may begin again as proposed in accordance with above, but not until at least one year has passed since its disestablishment.
- b. The National Council, in its sole and absolute discretion, may determine additional procedures for the reestablishment of a Section.

## **F. Section Finances**

### 1. Fiscal Year

The fiscal year for each Section is January 1-December 31.

### 2. Financial Responsibilities

- a. Any and all liabilities incurred by the Section are the sole responsibility of the Section.
- b. The Section will discuss with the Executive Director any intention to enter into a contract or incur a liability or anticipated liability in an amount exceeding \$5,000.
- c. The Section will remain in compliance with ASPA Policies and Procedures.
- d. Any amounts due to ASPA for expenses paid on behalf of the Section for a period exceeding 90 days will be deducted from the next regularly scheduled dues rebate of any Section with such outstanding debt. Such deductions will continue until said debt is fully paid off.

### 3. Dues and Rebate Calculation

- a. Section rebates are based on the dues paid per Section member on an annual basis. The dollar amount per member is set by the National Council, upon the Section's recommendation. To determine the total rebate for the quarter, a Section may multiply the number of members who joined or renewed their Section membership during the quarter by the dues per member. ASPA retains a \$4 processing fee per Section member, which it recognizes as Program Service Fee income, for the collection and administration of Section dues.
- b. ASPA will remit the dues rebate following the close of each quarter to Sections in compliance.
- c. Payment of Section rebates will be withheld for noncompliance of performance standards or for non-submission of the annual information form and list of elected leadership. Payment also will be withheld if the Executive Director does not find the

annual information form submitted to be acceptable, the Section's Officers are not ASPA members, or the Section's programming violates ASPA bylaws or Council-adopted policies. Dues rebates will be withheld until required information is received by the National Office. ASPA's liability for Section rebates shall not extend beyond December 31 of the fiscal year in which that information is due for the prior fiscal year. Individual Sections may appeal the loss of an immediately preceding fiscal year's dues rebate(s) to the National Council.

#### 4. Appeal Process for Withholding or Loss of Rebates

- a. Sections must submit all appeals to receive withheld or lost dues rebates in writing to the Executive Director within six months of those dues being withheld or lost. The appeal must contain sufficient justification by which the Section believes it is entitled to receive the rebates. Only the previous fiscal year's withheld rebate(s) will be considered for appeal.
- b. Any other reason must specify the extenuating circumstances and clearly state future plans to conform with ASPA policies, enhance the quality of member programs, increase membership, and/or enhance communication with members.
- c. All required but missing information and documents must be submitted to the Executive Director, who must approve them and determine they meet all requirements of ASPA Policies and Procedures.
- d. The Executive Director will submit the Section's appeal and justification to the National Council for consideration and/or approval at its next scheduled meeting. The Council's decision is final.

#### 5. Tax Filing and Statement of Audit

- a. Sections with normal annual gross revenue in excess of \$50,000 are required to have an annual CPA audit of their financial records and furnish a standard statement of audit to the National Office with their annual finance and program report.
- b. In accordance with the U.S. Internal Revenue Service, all Sections must file IRS Form 990, Return of Organization Exempt from Income Tax, by the 15<sup>th</sup> day of the fifth month after the end of the fiscal year. Staff will undertake these filings on Sections' behalf, but must receive financial information forms in a timely fashion to do so. Should a Section not provide the appropriate documents in time for the filing, ASPA is not liable for the Section's change in IRS status.
- c. Should a Section lose its juridical person status with the IRS, ASPA will work on its behalf to regain that status, with approval of the Section, which will be responsible for all fees associated with this process. Sections are responsible for all fees, including for establishment of EINs, name, location changes, and regaining compliance, unless otherwise agreed to with the Executive Director.

## **CHAPTER 9 CHAPTERS**

Each member in good standing is entitled to membership in a geographically based Chapter. Members are encouraged to become active in Chapter activities, which may include discussion panels, workshops, annual awards programs, and conferences, depending on the Chapter. It is through such activities that members have the opportunity to become more meaningfully involved in their local public service community, enhance their professional development skills, and monitor career advancement opportunities.

### **A. Chapter Membership**

1. Members are entitled to membership in a primary Chapter as part of their annual dues. They are assigned or otherwise encouraged to join Chapters near their places of employment or residence. Non-U.S. members are assigned to the International Chapter, unless they otherwise indicate their preference. Persons not wishing to belong to any Chapter—or who are not located in a geographic area that an existing Chapter covers—shall be Members-at-Large.
2. In addition to all rights and privileges that ASPA membership provides, members belonging to a Chapter shall enjoy all rights and privileges that the Chapter may provide, as reflected in its bylaws, strategic planning documents, and/or programmatic schedules.
3. Members in good standing may choose to join a secondary Chapter for a fee that the National Council establishes. Currently, the fee is \$10 per additional Chapter. Members belonging to a secondary Chapter also shall enjoy all rights and privileges that such a Chapter may provide. For the purpose of national membership counts, such a member will be counted only once. In addition, such a member will receive the national organization's rights, privileges and benefits—including voting—accorded to one member.

### **B. ASPA Chapters**

The following are established ASPA Chapters as of February 2023.

Alabama	Central Virginia
Arkansas	Colorado
Bakersville (California)	Connecticut
Bay Area (California)	Delaware
Buffalo Niagara (New York)	Detroit Metropolitan (Michigan)
Cascade (Oregon/Washington)	East Tennessee
Central Florida	Empire State Capital (New York)
Central Illinois	Evergreen (Washington)
Central Ohio	Georgia
Central Piedmont (North Carolina)	Gold Coast (Florida)
Central Texas	Greater Chicago (Illinois)

Greater Cincinnati (Ohio)  
Greater Houston (Texas)  
Greater Kansas City (Missouri)  
Greater New Orleans (Louisiana)  
Greater Rochester (New York)  
Hampton Roads (Virginia)  
Hawaii  
High Plains Texas  
Indiana  
Inland Empire (California)  
International  
Iowa Capital  
Kansas  
Keystone (Pennsylvania)  
Louisiana  
South Carolina  
Maryland  
Massachusetts  
Metropolitan Louisville (Kentucky)  
Michigan Capital

National Capital Area (DC Metro)  
Nebraska  
New Jersey  
New York Metro  
North Florida  
North Texas  
Oklahoma  
Piedmont Triad (North Carolina)  
Research Triangle (North Carolina)  
Rhode Island  
Sacramento (California)  
San Diego (California)  
Sioux (Iowa)  
South Carolina  
South Florida  
South and West Texas  
Southern Arizona  
Southern California  
Southern Nevada  
Suncoast (Florida)  
Tennessee  
Utah

Minnesota  
Mississippi

## **C. Establishment of a Chapter**

### **1. Determination of Viability**

- a. One or more members in good standing may propose establishing a new Chapter by contacting the National Office, which will assist in determining its viability.
- b. Staff will assist the proposing members in delineating the geographic area to be served as not to infringe on other Chapters in the area or confirming with an existing Chapter that it will not oppose formation of another Chapter within its geographic area. The National Office will provide names of all ASPA members in the proposed area to be served.
- c. Proposing members will outline the steps undertaken to date to confirm support for such a Chapter from among those members to be served.
- d. The Council members representing the district where the proposed Chapter would exist will consult with the proposing members to verify viability and provide support, as needed. The District Representatives should keep staff apprised of the status of the prospective Chapter.
- e. This determination is not definitive in terms of the establishment of a new Chapter. It is intended to focus stakeholders on key issues related to feasibility and viability.
- f. It is National Council policy that establishment of a new Chapter from an area served by an existing Chapter, either metropolitan or statewide, shall not result in the decrease of the existing Chapter's membership below minimum requirements. Both the new and existing Chapters must meet the chartering and performance criteria individually. A letter from the existing Chapter must be part of the chartering package for the new Chapter. This letter must have the comments and recommendations of the existing Chapter's council when the prospective Chapter represents a diminution of the existing Chapter's area.

### **2. Submission of Application**

One or more members in good standing may propose establishing a Chapter by completing and submitting an application to the National Council through the Executive Director. The application must include, but not be limited to, the following elements:

- a. list of at least 15 members in good standing who would be members of the Chapter upon its establishment; and a membership recruitment plan. The number may be less than 15 where there is sufficient evidence of a viable Chapter in the collective judgment of the Council members representing that district and the National Office. Within two years, the Chapter should raise its membership to at least 30 members.
- b. description of short- and long-term program goals, activities, and programs that the new Chapter will undertake upon its establishment, including recruitment activities
- c. proposed budget for the Chapter's first two years of operation
- d. proposed Chapter leadership, which shall be a temporary executive Committee

- e. statement of approval from leadership of an existing Chapter (when the Chapter would be created from an existing one)
- f. Chapter bylaws, which must include the following:
  - 1) wording concerning IRS 501(c)(3) tax exemption and related issues
  - 2) procedures for the nomination and election of Chapter directors and Officers, including details of the directors' and Officers' responsibilities.
  - 3) requirement that all Chapter directors, Officers, and members be ASPA members
  - 4) establishment of a fiscal year that agrees with ASPA's fiscal year (January 1 to December 31)
  - 5) statement that the Chapter may be established, disestablished, or reestablished in the Council's sole discretion
  - 6) statement that amendments to Chapter documents may be made only with the Council's advance approval
  - 7) statement that the Council reserves the contractual right at any time to bar the Chapter from using "American Society for Public Administration" in its name when any Chapter acts in a manner detrimental to ASPA's reputation or goodwill

### 3. Review and Approval of Application

- a. The Executive Director will review the proposed Chapter's application and assess its feasibility, consulting ASPA stakeholders, as appropriate. At the conclusion of this review, the Executive Director will present and/or recommend the application to the National Council for its consideration and/or approval.
- b. The Council may approve permanent establishment of a Chapter using standards it deems appropriate. Alternatively, it may approve establishment on a provisional basis, should it desire. To achieve permanent status, the Chapter must successfully meet specific criteria within a specified timeline that the Council establishes.
- c. Chapters shall be domestic or foreign juridical persons, legally separate and distinct organizations from ASPA. In approving permanent establishment of a Chapter, the National Council must approve in advance legal and other documents organizing each proposed Chapter as a juridical person. Those documents shall serve as a matter of contract between the Chapter and ASPA to receive benefits of being affiliated with ASPA as a Chapter, as well as provisions that the Internal Revenue Service require.
- d. The Council may determine additional procedures for establishment of a Chapter.

## **D. Chapter Governance**

### 1. Membership

All members, Officers, and directors of a Chapter must be ASPA members in good standing. ASPA reserves the right to revoke Officers' and directors' roles, should individuals serving in those capacities not renew their ASPA membership in a timely fashion (at most 60 days past expiration). It is the responsibility of Chapter leaders, specifically the President, to monitor



the Officers' and directors' membership status and enforce the membership requirements. ASPA staff periodically send reminders to Chapter leaders regarding lapses. ASPA expects its leaders to stay informed on the subject. Should a leader's role be revoked due to a membership lapse, the President should encourage the member's immediate membership renewal or must replace the leader with a Chapter member in good standing.

## 2. Elections and Leadership

- a. Each Chapter shall provide for the nomination and election of its Officers in accordance with its bylaws approved by the National Council. The bylaws shall spell out the Officers' duties.
- b. Copies of all official Chapter documents, including bylaws, shall be provided to the Executive Director upon their being formalized or otherwise approved.

## 3. Performance Criteria

Each Chapter is responsible for meeting requirements and performance standards that the National Council may establish. The current standards are the following:

- a. submission of an annual finance and program report, completed on a standardized form provided by the National Office, within 60 days of the Chapter's fiscal year close—i.e., the report is due by March 5 for each preceding fiscal year
- b. submission of a list of elected and appointed leadership on an at least annual basis and immediately after an election or leadership transition
- c. monitoring leaders' membership status to ensure they remain in good standing
- d. conduct of elections not less frequently than every two years or otherwise determined by bylaws
- e. inclusion of the National Office as a recipient of all communications sent to the Chapter-wide membership
- f. membership totaling at least 15 members unless otherwise exempted by the Executive Director
- g. establishment of a bank account for all Chapter business and submission of account details to the National Office for recordkeeping purposes
  - 1) Bank accounts should be maintained with the same financial institution for as long as possible. Should a Chapter choose to move its account to a new financial institution, it should alert the National Office prior to doing so. Should a Chapter move its bank account more than once in a 12-month period, rationale must be provided to the National Office and an administrative fee of \$50 will be deducted from the Chapter's next rebate to accommodate the work required at the National Office to facilitate this adjustment.

## 4. Amendment to Chapter Bylaws

- a. Any proposed amendment to Chapter bylaws must be approved in the manner and process that the Chapter bylaws provide.

- b. Upon Chapter approval, the proposed amendment must be submitted to the National Office for consideration. The Executive Director may approve a proposed amendment that is administrative in nature; administrative amendments include, but are not limited to, changes that align the bylaws to changes in existing or revised ASPA bylaws or Policies and Procedures. The National Council approves a proposed amendment that is substantive in nature; substantive amendments include, but are not limited to, changes in Chapter name.

## **E. Disestablishment/Reestablishment/Expansion of a Chapter**

### **1. Disestablishment**

- a. If the Chapter was proposed but not a separate juridical person, the National Council may disestablish it at any time following consultation with the Executive Director.
- b. If the Chapter is a separate juridical person, the National Council may disestablish it at any time following consultation with the Executive Director, but only where members of the Chapter request such an action.
- c. If the Chapter is a separate juridical person, the National Council may disestablish it for its failure for three years to meet the performance standards for Chapters.
- d. The National Council, in its sole and absolute discretion, may determine additional procedures for the disestablishment of a Chapter.

### **2. Reestablishment**

- a. Whenever any provisional or permanent Chapter has been disestablished, upon application to the Executive Director and favorable approval by the National Council, the Chapter may begin again as proposed in accordance with above, but not until at least one year has passed since its disestablishment.
- b. The National Council, in its sole and absolute discretion, may determine additional procedures for the reestablishment of a Chapter.

### **3. Expansion**

- a. A Chapter wishing to expand its geographic coverage beyond its existing jurisdiction must undertake a due diligence and engagement process with current and prospective Chapter members whom the expansion would impact. This process includes, but is not limited to, the following steps:
  - i. The Chapter must determine that the proposed expansion does not include any geographic area already served by an established Chapter.
  - ii. The Chapter must inform its current members of the proposed expansion, seek their opinion of it and obtain the approval of its Chapter Board.
  - iii. The Chapter must determine the number of prospective members within the expanded boundaries, seek their opinion on the proposed expansion and obtain affirmative responses from at least a super-majority (at least 60 percent) of those expressing an opinion within a fixed period of time (such as 30 days), as determined by the expanding Chapter.

- b. Upon the successful completion of this due diligence and engagement process, the Chapter must submit a written proposal to the National Office which includes, but is not limited to, the following:
  - i. Confirmation that the three above steps were undertaken and successfully achieved.
  - ii. Plans that the Chapter will take to ensure that its programming is relevant and of interest to members within the expanded boundaries under consideration.
  - iii. Confirmation that the expansion, if approved, will not prevent members within the expanded geographic area from organizing their own area-specific Chapters if they meet ASPA's policies and procedures for establishing such a Chapter. Further, the proposal should include confirmation that should this take place, the impacted area no longer would be part of the expanded Chapter.
  - iiii. Revised bylaws that ii. and iii. of this Section, as well as any administrative amendments, such as the Chapter's name change or Board composition.
- c. Upon the National Office's review of the proposal, the Executive Director will present it to the National Council for its consideration and/or approval.
- d. This provision applies to Chapters that wish to expand their coverage to additional municipalities or regions of the state in which it operates; to an entire state for those states lacking more than one Chapter (a "statewide" Chapter); and to one or more states that lack a Chapter (a "multistate" Chapter).
- e. The National Council, in its sole and absolute discretion, may determine additional procedures for the expansion of a Chapter. It also may amend or eliminate this provision at any time it deems appropriate.

## **F. Chapter Finances**

### **1. Fiscal Year**

The fiscal year for each Chapter is January 1-December 31.

### **2. Financial Responsibilities**

- a. Any and all liabilities incurred by the Chapter are the sole responsibility of the Chapter.
- b. The Chapter will discuss with the Executive Director any intention to enter into a contract or incur a liability or anticipated liability in an amount exceeding \$5,000.
- c. The Chapter will remain in compliance with ASPA Policies and Procedures.
- d. Any amounts due to ASPA for expenses paid on behalf of the Chapter for a period exceeding 90 days will be deducted from the next regularly scheduled dues rebate of any Chapter with such outstanding debt. Such deductions will continue until said debt is fully paid off.
- e. Chapters are not allowed to assess or levy an additional fee for membership. This does pertain to user-fee activities or events.

### **3. Rebate Calculation**

- a. The National Council determines the amount of the Chapters' annual rebate. Currently, Chapters receive a \$10 dues rebate for each member of their Chapter. Amounts are accrued each month and payments are made annually to Chapters in compliance following the end of the first quarter of ASPA's fiscal year. The rebate is calculated by determining the number of ASPA members in that Chapter as of the preceding December 31 and multiplying that number by \$10.
- b. Payment of Chapter rebates will be withheld for noncompliance of performance standards or for non-submission of the annual information form and list of elected leadership. Payment also will be withheld if the Executive Director does not find the annual information form submitted to be acceptable, the Chapter's Officers are not ASPA members, or the Chapter's programming violates ASPA bylaws or Council-adopted policies. Rebates will be withheld until required information is received by the National Office. ASPA's liability for Chapter rebates shall not extend beyond December 31 of the fiscal year in which that information is due for the prior fiscal year. Individual Chapters may appeal the loss of an immediately preceding fiscal year's dues rebate(s) to the National Council.

#### 4. Appeal Process for Withholding or Loss of Rebates

- a. All appeals to receive withheld or lost dues rebates by any Chapter must be submitted in writing to the Executive Director within six months of those dues being withheld or lost. The appeal must contain sufficient justification by which the Chapter believes it is entitled to receive the rebates. Only the previous fiscal year's withheld rebate(s) will be considered for appeal.
- b. Any other reason must specify the extenuating circumstances, clearly state future plans to conform with ASPA policies, enhance the quality of member programs, increase membership, and/or enhance communication with members.
- c. All required but missing information and documents must be submitted to the Executive Director, who must approve them and determine they meet all requirements of ASPA Policies and Procedures.
- d. The Executive Director will submit the Chapter's appeal and justification to the National Council for consideration and/or approval at its next scheduled meeting. The Council's decision is final.

#### 5. Tax Filing and Statement of Audit

- a. Chapters with normal annual gross revenue in excess of \$50,000 are required to have an annual CPA audit of their financial records and furnish a standard statement of audit to the National Office with their annual finance and program report.
- b. In accordance with U.S. Internal Revenue Service, all Chapters must file IRS Form 990, Return of Organization Exempt from Income Tax, by the 15<sup>th</sup> day of the fifth month after the end of the fiscal year. Staff will undertake these filings on Chapters' behalf, but must receive financial information forms in a timely fashion to do so. Should a Chapter not provide the appropriate documents in time for the filing, ASPA is not liable for the Chapter's change in IRS status.

- c. Should a Chapter lose its juridical person status with the IRS, ASPA will work on its behalf to regain that status, with approval of the Chapter, which will be responsible for all fees associated with this process. Similarly, Chapters are responsible for all fees, including for establishment of EINs, name, location changes, and regaining compliance, unless otherwise agreed to with the Executive Director.

## CHAPTER 10

### COMMUNICATIONS AND PUBLICATIONS

ASPA publishes a wide range of distinguished, expert, current, and educational material in the public administration profession. These publications include the preeminent journal in the field, a current and informative magazine, books, monographs, and papers given at the Annual Conference. ASPA also has an informative website ([www.aspanet.org](http://www.aspanet.org)).

#### A. ASPA Communications

##### 1. [www.aspanet.org](http://www.aspanet.org)

- a. ASPA's website, [www.aspanet.org](http://www.aspanet.org), is a hub of key information for members and the public service community. It includes headline news related to ASPA and the broader profession, professional development training, membership benefits, career opportunities, and critical discipline publications, among other resources.
- b. Members may update their profiles online, renew and/or make changes to their membership, register for in-person and online programs, and access a members-only archive with more than 225 hours of topic-based e-learning.
- c. Chapter and Section leadership may access their membership rosters, provide information for our events calendar, and get tips on effective programming and other best practices.
- d. Highlights of prior Annual Conferences—panel presentations, plenary session audio or video, transcripts, and photos—are housed on members-only pages.

##### 2. *The Bridge*

Sent every other week to members and friends, *The Bridge* enables readers to stay current on key issues, domestic updates, and worldwide news throughout the public administration profession. Highlights include ASPA programming updates, recent reports issued across the profession, conference and event announcements, and journal updates.

##### 3. This Week at ASPA

Sent every week to members only, This Week at ASPA gives a preview of upcoming National Office-led activities, both in person and online. The publication is members' go-to resource for the current programming and opportunities

##### 4. ASPA NewsBrief

Sent three days per week to members and others, this service includes headlines related to current events directly affecting the public administration profession. State, local, and federal news of importance to members is featured.

## 5. Public Administration Today

Launched in 2022, Public Administration Today is an online community bringing together the widest set of expert thought-leadership content from hundreds of sources, all in one place. The publication is sent several times weekly.

### B. ASPA Publications

#### 1. *PA TIMES* Magazine

Published three times annually, *PA TIMES* Magazine keeps members apprised of current developments in public administration, as well as conferences and activities related to Chapters, Sections, regional groups, and the National Office. Each edition is thematically based and includes articles cultivated for the topic's importance to the profession. Examples include "Infrastructure," "Women in Public Administration," "Global Public Administration," and "Social Equity." All members receive the magazine, either in hard copy or electronically, depending on their membership type. The Executive Director is *PA TIMES*' Editor-in-Chief. The Chief of Marketing and Communications is the Managing Editor.

#### 2. *PA TIMES Online*

- a. Sent twice weekly by email to ASPA members and a subscriber list, *PA TIMES Online* provides original content on public administration issues. Each issue includes four to six articles written by authors who submit their pieces for consideration.
- b. Annually, the National Office develops an editorial calendar of seasonal themes and invites individuals to volunteer as columnists. If accepted, staff review their contributions prior to publication. Due dates are rolling throughout the year; ad hoc submissions are accepted and considered at any time.
- c. Articles refrain from taking a partisan perspective on issues under discussion; we encourage articles to be focused on public administration, not partisan politics.
- d. A standalone website, <http://patimes.org>, houses and archives these articles, serving as a repository for future use.

#### 3. Books and Monographs

ASPA periodically publishes books and monographs on public administration topics.

#### 4. *Public Administration Review*

- a. *Public Administration Review* is dedicated to advancing theory and practice in public administration. As the preeminent professional journal in the field, it publishes research that not only advances the science and theory of public administration, but incorporates and addresses the realities of the practice of public administration. Published six times annually, the issues feature editorials, research articles, viewpoint articles, and book reviews. They feature symposium articles, as well.

- b. ASPA is the owner of *Public Administration Review*. It is responsible for the selection of the Editor in Chief and the selection, management, and oversight of the journal's publisher.
- c. All members receive *Public Administration Review*, either in hard copy or electronically, depending on their membership type.

## 5. *Public Integrity*

- g. *Public Integrity* addresses ethical issues of importance to the public, especially those that introduce new discourse to the field. Its readership is global and inclusive of scholars, students, and professionals in government; nonprofits; and businesses. Topics addressed include theoretical and applied ethics; corruption; law; organizational behavior and performance; social equity; criminal justice; environmental concerns; philosophy; and human rights.
- h. ASPA is the owner of *Public Integrity*. It is responsible for the selection of the Editor in Chief and the selection, management, and oversight of the journal's publisher. Initially published as an annual, *Public Integrity* was once published and sponsored jointly by ASPA, the Council of State Governments, and International City/County Management Association. In 2001, the parties conveyed to ASPA all ownership rights, including the right to publish the journal in any form.
- i. Members of the Section on Ethics and Integrity in Governance receive *Public Integrity* as a benefit of their Section membership, paid by SEIGOV.

## C. Governance and Management of ASPA-Owned Journals

1. Appointment. The President shall appoint the Editor-in-Chief of *Public Administration Review* and the Editor-in-Chief of *Public Integrity* for an initial term of three years, subject to the Council's consent.
2. Reappointment. The appointments of the Editor-in-Chief of *Public Administration Review* and the Editor-in-Chief of *Public Integrity* shall be renewable for a successive term, subject to the Council's consent.
3. Service. The Editor-in-Chief of *Public Administration Review* and the Editor-in-Chief of *Public Integrity* serve at the Council's pleasure. The Editors-in-Chief will provide a report to the National Council annually detailing the accomplishments and activities of their respective journals covering the preceding year.
4. Editorial Boards. The Editor-in-Chief of *Public Administration Review* and the Editor-in-Chief of *Public Integrity*, in consultation with the National Office, appoint members of their respective editorial boards. They will take geographic and demographic diversity, diversity of expertise, and academic-practitioner balance into account when making their appointments. Approximately one-third of the members are appointed each year, with members serving three-year terms. Editorial Board members are not required to be ASPA members.



#### **D. Section-Owned and -Sponsored Journals**

1. Individual Sections may own, sponsor, or co-sponsor journals whose topic areas relate to the Sections' mission. Sections also may provide journals, with which they have no formal relationship, to their members as a benefit.
2. At least every five years, a Council-established Ad Hoc Committee will undertake a survey and review of Section-owned, -sponsored, -co-sponsored, or -provided journals. The objective is to ensure that the journals provided to Section members are high quality, published with the intended frequency, and made available to the broader public service community, as feasible.
3. The primary obligation for ensuring the quality of journals affiliated with ASPA through its Sections rests with the Section leadership. Its obligation is to obtain necessary and timely information from the journals' editors and/or publishers and provide such information to the National Office. This information should include, but not be limited to, the following:
  - a. Financial Stability. For Section-sponsored or -provided journals, the written agreement between the Section and the journal should specify that no financial liability for journal operations may be imposed on, or accepted by, a Section—that is, any operating losses associated with the journal's operation may not be passed on to the Section.
  - b. Quality. Section leadership (or the editor) will conduct a periodic survey of the journal's value and contributions to the Section and its members. Survey results shall be provided to the National Ad Hoc Committee.
  - c. Journal Responsiveness to Section. For Section-owned or -published journals, the journal editor must send an annual report to the Section Chair at least 30 days prior to the Annual Conference or the editor may present the written report in person to Section leadership at the conference.
4. Sections shall provide information on journal performance as it relates to its value to Section members at least annually and as part of its completed annual information form submitted to the National Office.
5. Sections that wish to create, sponsor, and/or co-sponsor a journal shall prepare a prospectus. The National Office shall make a preliminary review of the prospectus and the National Council shall consider and/or approve it before the Section can proceed. The prospectus must include:
  - a. Statement of Purpose. Ensure the journal carries a brief statement of purpose that designates goals, objectives, and audiences.
  - b. Audience and Market. Indicate the intended audience(s), approximate number of subscribers guaranteed through Section membership, and estimates for other subscribers.

- c. Writers. Indicate the kinds of writers to contribute to the journal and the kinds of writing expected in relation to research, scholarship, and other objectives.
- d. Sponsorship. Indicate the proposed sponsor and show the respective rights and responsibilities, legal and otherwise, of each sponsor, with protection for ASPA from any legal or financial responsibility.
- e. Publisher. Show the name, address, and principal operating officer of the publisher and include responsibilities for procurement and ownership of copyright, rights to copyright for authors, sponsors and the publisher, translation rights, and reprint rights. Also, indicate the publisher's responsibilities with respect to copyediting, indexing, proofing, production, order fulfillment, and storage.
- f. Revenues. Show anticipated revenue from sources for three or more years: guaranteed revenues through membership circulation; additional circulation revenue anticipated by direct sales to libraries and individuals; advertising revenue; and sales of subscription lists.
- g. Expenditures. Show estimated developmental costs for one year for the editor, peer reviewers, and authors; administrative help; office space; hardware; stationery and postage; travel; and fees and charges for design and art.
- h. Duties of the Editor. Show the principal responsibilities of the editor with respect to selection of articles through a peer review process, selection of articles by other means, development of a peer review panel, responsibilities for copyediting and production, and other duties and responsibilities.
- i. Selection of Articles. Describe the process for the selection of articles, including the conduct of the peer review process and the editor's final selection of articles.
- j. Editorial Content. Delineate the authority and responsibility for editorial control with respect to the sponsor or sponsors, publisher, and editor. If this statement is equivocal, the prospectus will be returned for more information.
- k. Qualitative Standards. Show how qualitative standards will be established and maintained with respect to the peer review process, use of data, citation standards, and formal and informal means of ongoing evaluation of submissions.
- l. Editorial Standards. Ensure the journal shall meet high editorial standards with respect to quality of writing, diction, grammar, and style.

## **E. The ASPA Logo**

1. ASPA Chapters and Sections may not use ASPA's logo in place of having one of their own. Chapters and Sections may choose to:
  - a. Have a specially created logo designed for their use, in which case the logo design should incorporate the National logo within it. A copy of the logo should be provided to the National Office upon completion.
  - b. Allow the National Office to create a logo for the affiliated Chapter or Section using its templated design.
2. Affiliated parties (including Sections, Chapters, affiliated journals, or ASPA committees), partner organizations, or others seeking to use ASPA's logo must receive prior written

approval of the National Office. This consent may be revoked at any time. Parties receiving such permission must agree to use the logo in a manner consistent with ASPA's established branding guide and for the purposes provided. Under no circumstances may an affiliated or external party use ASPA's logo as an endorsement or indication of sponsorship of any event or program without the National Office's prior approval.

## **CHAPTER 11**

### **ANNUAL CONFERENCE**

The ASPA Annual Conference is a highly respected and anticipated event that brings together a broad range of individuals representing the public service community. Those who attend and participate in the conference are reflective of ASPA's broad membership: academics, students, public service professionals, and others dedicated to the public good. The conference allows them to explore emerging issues spanning theory, scholarship, and practice, and provides an opportunity for their professional development, exchange, and growth. Plenary sessions, panels, and speakers all contribute to this highly stimulating and educational event.

Individual and multiple Chapters hold conferences more limited in scope than the Annual Conference, but which serve similar purposes with a more local approach. Some Sections hold specially focused conferences that address particular issues or areas of interest.

#### **A. Annual Conference Goals**

##### **1. General Goals**

The Annual Conference is ASPA's annual gathering. Participation by practitioners from the public, private, and nonprofit sectors, academics, and students means that each group has different needs, requirements, and desired outcomes. The conference's goal is to provide an effective program to meet the needs of these diverse audiences.

##### **2. Specific Goals**

- a. The conference's educational program will balance the different needs of the participants. At the same time, it will provide the opportunity for the sharing and strengthening of knowledge, experience, and skills.
- b. The conference will provide for such organizational activities as the annual membership meeting; Council meeting; and annual meetings of Sections, Chapters, and journal editorial boards, if they so desire. The bylaws and/or these Policies and Procedures provide that the terms of office for the Officers and Council members coincide with the dates of the conference. The President-Elect assumes the office of the Presidency upon conclusion of the conference, at which time the terms of incoming Officers and Council members begin.
- c. The National Council has adopted a strategic direction for ASPA. The conference's program design offers one avenue for ASPA to achieve aspects of it.
- d. As the conference is ASPA's most visible public activity, the National Office will design, market, and manage it to enhance ASPA's image and awareness and to advance excellence in public administration.
- e. The conference will create an opportunity for public administrators, academics, students, and other public service professionals to interact, network, and exchange information.

- f. The conference will provide an opportunity for membership recognition, retention, and recruitment by honoring members and other individuals and organizations through the presentation of awards.
- g. The conference will be revenue generating—that is, conference revenues will exceed all conference expenses, including administrative costs. It is the Council’s intent and expectation that conference revenue and expenses be managed in a manner that provides robust net income to support other programs and priorities.

## **B. Annual Conference Program Definitions**

### **1. Glossary**

- a. Plenary Session. An event with no other activities scheduled at the same time; the objective is to ensure that a maximum number of attendees will be present. At least one plenary session takes place each day of the conference. There are three standing plenary sessions: the Elliot Richardson Lecture, the Donald C. Stone Lecture, and the Nesta Gallas Lecture. An opening plenary session, an international/global plenary speaker, and a closing plenary speaker are typical.

The Richardson Lecture, delivered by a National Academy of Public Administration fellow who is regarded as a practitioner, is selected by the President, in consultation with the Executive Director. The Stone Lecture, delivered by an individual considered to be an academician or scholar, is selected by the President, in consultation with the Executive Director. The Gallas Lecture, delivered by the recipient of the Nesta Gallas Award, is selected by the Endowment Awards Committee, as described in the Awards Chapter.

Other plenaries—such as those in a panel format or international/global in scope—are planned to accomplish conference goals. These speakers are selected by the National Office, in consultation with the President.

- b. Presidential Panel. Typically smaller than a plenary session, a panel that takes place at a time that does not compete with other sessions, or with reduced competition. Presidential panels are typically practitioner oriented and cover issues related to the conference theme or tracks. They are developed by the National Office, in consultation with the President, outside the proposal submission and peer review process.
- c. Concurrent Panel. A smaller panel featuring presentations based on topics and/or papers accepted through the submission and peer review process. As many as 10, and sometimes more, panels take place concurrently during a specific time block. The total number is based on the number of accepted papers and the availability of meeting space. Each session typically lasts one hour or more. The submission and peer review process typically entails the use of track reviewers expert in the subject matter of the proposals they review. The National Office selects the reviewers, who should balance both academic and practitioner perspectives; it may seek suggestions from the President on prospective reviewers.

- d. Workshop. A specially designed and focused training session. Pre-registration and additional fees are sometimes required for half- or full- day workshops.
- e. Mobile Workshops/Symposia. A special focus workshop or symposia. Chapters, Sections, or the local host usually develop them.

### **C. Annual Conference Management**

1. Executive Director. As the bylaws prescribe, the Executive Director is responsible for managing the development and implementation of the Annual Conference's programmatic and logistical aspects, in consultation with the President.
2. President, Conference Chair, Honorary Chair. The President, in collaboration and consultation with the Executive Director and National Office, develops the conference theme and associated tracks. The President also has the opportunity, should he/she so choose, to appoint a Conference Chair(s) and Honorary Chairs(s). The responsibilities of Chairs and Honorary Chairs—and the basis for their selection—may vary depending on their backgrounds and talents, leadership needs pertaining to conference development (programmatic, financial, or other), or broader strategic considerations that would make their participation valuable.
3. Conference Management Committee. In collaboration and consultation with the Executive Director, the President may choose to establish a Conference Management Committee to advise on aspects of the conference's development, including fundraising, marketing, and major themes. However, the Committee is not required. Representatives may include the President, Executive Director, President-Elect, staff responsible for events and communications, a locally based member representative, and the Financial Management Committee Chair. A Conference Management Committee shall have no formal decisionmaking authority or responsibility.
4. Local Host Committee. Depending on the conference location and presence of a local Chapter and its strength, the President may choose to establish a Local Host Committee. However, the Committee is not required. Areas in which its involvement can be especially important include conference marketing, group registrations from local agencies and organizations, mailing lists for promotions, sponsorships, and arrangements for social functions and special events.

### **D. Selection Criteria for ASPA National Conferences**

1. General Criteria
  - a. The National Council is responsible for approval of an Annual Conference location, upon the staff's recommendation. Throughout the location vetting process and prior to making its recommendation, staff will consult with, and seek concurrence from, the member holding the presidency during the year in which the conference will take place.

- b. Two criteria consistently appear in every meeting planner and conference attendee survey: convenience to the traveler and cost. Those who regularly plan meetings find that selecting a host city and a venue hinge on the city's appeal, the hotel room cost and transportation affordability and access. Although not to the exclusion of other important factors, it is National Council policy that conference location selection be a financially responsible one, keeping ASPA's fiscal position at the forefront of the Council's consideration and approval.
- c. Conference attendees primarily are government employees, academicians, and students, making cost an even greater factor. That said, the space intensive structure of the program necessarily limits the pool of potential hotel sites.
- d. Staff will negotiate for the best packages, with a focus on competitive sleeping room rates, free or greatly discounted meeting space, favorable food and beverage minimums, service discounts, and non-financial concessions.

## 2. City Selection Criteria

- a. The destination is important; the city must appeal to conference attendees.
- b. Conferences can be in first and second tier cities. The presence of a local Chapter and/or university partner is a plus, but not required.
- c. The location must be able to accommodate a conference held during the Spring (between February and May).
- d. The site selection process should ensure a diverse rotation among regions of the United States (North, South, East, and West) from one year to the next. However, the specific cycle is flexible—that is, there is no formal requirement for the order of locations. It is the National Council's preference that the conference be held in Washington, DC every four to five years.
- e. Meeting space must provide for adequate meeting rooms to accommodate a robust number of concurrent panel rooms, plenary session room, and often space for an opening reception.
- f. Hotel room rates should be reasonable and affordable to the membership given the location and dates.
- g. A room block within one hotel is desirable, though multiple hotels should be available nearby to accommodate overflow.
- h. There should be adequate transportation options to and from the city.
- i. There should be consistency with, and commitment to, ASPA's diversity guidelines. In addition, state and local policy issues have played an increasing role in nonprofit organizations' selection of conference location, reflecting concerns that those issues conflict with organizational values and/or raise questions about attendees' health and safety. The National Office and/or its agents shall make every reasonable effort to secure information that can fully inform the Council's consideration of prospective sites. This information may include, but not be limited to, developments that may adversely impact attendee attendance and/or conflict with ASPA's core values.

## 3. Diversity Guidelines

- a. In all appropriate aspects of the conference, race, ethnicity, gender identity, sexuality, and other important forms of diversity will be taken into account. Every effort will be made to recognize major generally observed religious holidays and ensure that the conference will not take place during those times.
- b. Site Selection and Hotels
  - 1) Site. Diversity of ethnic composition in the geographic location should be a major criterion.
  - 2) Hotels. Selected hotels should be made fully aware of the diverse composition of ASPA's membership and conferees and its unalterable stand that every person be accorded equal treatment in every respect.
  - 3) Affirmative Action. All hotels must have an affirmative action policy or plan in place.
  - 4) Speakers. Every effort should be made to have speakers and topics that reflect the membership's diversity.

## **E. Conference Financing**

1. Budget Policy. It is National Council policy that the Annual Conference be revenue generating.
2. Use of Profit. Any profits from an Annual Conference are treated as general revenues in the year that the conference takes place; any losses are covered from general revenues. Prior years' experiences with conference revenues and expenses will be considered in future budgeting decisions.
3. Budget Development
  - a. The Executive Director is responsible for developing the conference budget for the Financial Management Committee's consideration and Council's approval, and for managing the budget throughout the planning and execution stages. As part of the proposed budget, the Executive Director will include direct and indirect costs and set the conference registration rates; the Committee will consider and/or recommend rate adjustments within the context of overall budgeted revenue.
  - b. The Financial Management Committee meets in a budget planning session during late Spring/early Summer of the year preceding the conference to develop its recommendations. The Committee will present recommendations as a program budget, with line item detail, to the National Council for consideration and approval.
  - c. The conference budget must include employee labor and a proportional share of employee benefits as expenses. The budgeted amount of these expenses will be based on, or informed by, the actual expenses incurred for the prior year's conference.
4. Sharing Costs and Risks



- a. Chapters, Sections, affiliated entities, and external organizations may sponsor such conference activities as workshops, business meetings, receptions, and awards ceremonies. The costs of such activities shall be the responsibility of the sponsoring entity, not the National Office.
- b. The National Office shall provide an advance estimate to the sponsoring entity, outlining the costs of such activities, including applicable taxes and/or service charges. Any expenses exceeding the estimate are the responsibility of the entity. The National Office will endeavor to provide current pricing, but it is not responsible for changes that may result from updated pricing menus or sheets.
- c. Unless otherwise agreed to by the National Office and sponsoring entity, the National Office will place all orders, including, but not limited to, food and beverage and audio/visual needs. These costs will appear on ASPA's master bill and the National Office will invoice the sponsoring entity for reimbursement. This does not apply to any events held in private hotel rooms. For those, ASPA will connect the sponsoring entity with the hotel to coordinate details directly. Costs will be charged directly to the private room.
- d. The National Office shall invoice the sponsoring entity for the actual costs of its activity within 45 days of ASPA finalizing the master bill with the conference venue. The sponsoring entity, including Chapters and Sections, shall remit payment to ASPA within 30 days of receiving the invoice. Chapters and Sections that fail to remit payment within that timeline shall have the expenses deducted from their annual rebates (Chapters) or quarterly dues payments (Sections), consistent with the Chapters and Sections chapters of these Policies and Procedures.
- e. The National Office shall remit any excess revenue to the sponsoring entity in cases where ASPA collects any ticketed fees on behalf of the entity. This will be done within 45 days of the finalization of the master bill.
- f. In cases where ASPA partners with another entity for a sponsored conference activity, the partnership will be documented with a clear delineation of responsibilities, liability for expenses, and division of net income. It is National Council policy that all sponsored functions included in the conference budget and administered by the National Office shall be budgeted to cover all of their costs, including direct costs incurred by ASPA and an appropriate share of the indirect costs allocated to the conference budget.

## 5. Supplemental Revenue

- a. For each Annual Conference, ASPA undertakes an effort to raise revenue from non-registration sources as a means to support a high quality conference and maximize net revenue for ASPA's broader operational purposes. Sponsorships are a primary source. The National Office, in consultation and collaboration with the President, is primarily responsible for the associated fundraising.
- b. It is National Council policy that special interest activities, including the Founders' Fellows program and non-recurring activities, either newly introduced for a given conference or only existing for a specific conference, must be expense neutral—that is, they must pay for themselves with their expenses fully offset.

## **F. Conference Code of Conduct**

Approved by the National Council in 2018, the following code of conduct applies to all Annual Conference participants. It shall be included on the conference website, placed in conference materials and disseminated to attendees prior to each conference.

### **1. Overview**

- a. The ASPA Annual Conference is built on an important framework: Bringing together those committed to the public good is an important purpose that supports ASPA's mission of advancing excellence in public service. A freeflowing exchange of ideas and educational interchange are important and necessary for advancing the art, study, teaching, and practice of public administration, as well as effective professional development for those invested in our field.
- b. In support of these goals, ASPA is committed to providing a safe, welcoming, and inclusive environment for all conference participants. We also are committed to providing an environment that is free from harassment or discrimination in all its forms, including age, race, ethnicity, national origin, religion, language, sexual orientation, gender identity or expression, disability, health, socioeconomic status, marital status, domestic status, parental status, physical appearance, or body size. Such conduct is contrary to ASPA's values and high standards of ethical practice. These standards include the principles of treating all persons with fairness, justice, and equality; respecting individual differences, rights, and freedoms; and promoting affirmative action and other initiatives to reduce unfairness, injustice, and inequality in society.
- c. Further, such conduct is contrary to ASPA's Code of Ethics, which all members promise to support. Specifically, it violates the principles of promoting democratic participation; strengthening social equity; demonstrating personal integrity; and advancing professional excellence.
- d. This Code of Conduct outlines the expectations by which all participants shall abide during the ASPA Annual Conference, conference-related activities, social events, and other ASPA-sponsored events in which participants are gathered. Participants include, but are not limited to, member and non-member attendees, speakers, public officials, staff, contractors, vendors, exhibitors, sponsors, awardees, guests, and volunteers.

### **2. Expected Behavior**

ASPA expects all participants to:

- a. Present themselves, interact, and communicate in a professional and constructive manner, whether in person or virtually.
- b. Handle dissent or disagreement with courtesy, dignity, and an open mind. Be respectful when providing feedback.
- c. Be sensitive to, and respectful of, cultural contexts that vary among regions within the United States and abroad, reflecting ASPA's global membership and reach.

- d. Wear their conference badge during all conference-related programming and present it upon request by staff or other event personnel.
- e. Be honest and truthful about any questionable behavior they witness on the part of any meeting participant when reporting it to staff or leadership. Report behavior as soon as possible after witnessing it.

### 3. Unacceptable Behavior

- a. Harassment, intimidation, or discrimination in any form will not be tolerated.
  - 1) Harassment consists of a single or multiple persistent or pervasive acts that are demeaning, abusive, offensive, or create a hostile professional environment. It may include unwelcome sexual solicitation, physical advances, or verbal or non-verbal conduct that is sexual in nature; threatening, intimidating, or hostile acts; circulation of written or graphic material denigrating or showing hostility toward an individual or group; or epithets, slurs, or negative stereotyping based on group identity. Harassment may take place either in person or through digital channels, including social media outlets.
  - 2) Sexual harassment includes, but is not limited to, unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature. Behavior and language that are welcome or acceptable to one person or culture may be unwelcome and offensive to another. Examples of behavior that, when unwelcome, constitute sexual harassment include sexual flirtations, advances, or propositions; verbal comments or physical actions of a sexual nature, including sexually degrading words used to describe an individual; making unwelcome comments about someone's physical appearance; a display of sexually suggestive objects or pictures; sexually explicit jokes; unwanted touching; and persistent and unwelcome solicitation of emotional or physical intimacy. Sexual harassment may take place either in person or through digital channels, including social media outlets.
  - 3) Verbally or physically abusive behavior toward others during the ASPA conference will not be tolerated. This behavior includes bullying, profanity directed toward others, property damage, deliberate intimidation or stalking, harassing photography or recording, physical assault, and real or implied threat of physical harm.
  - 4) Disruption of speakers, presenters, or any individuals engaged in the public presentation of conference-related content.

### 4. Consequences of Unacceptable Behavior

- a. Engaging in unacceptable behavior as described in this Code of Conduct may result in being asked to leave the event and/or being barred from future events.
- b. Anyone requested to cease unacceptable behavior is expected to comply immediately. ASPA staff, hotel personnel, or security may take any action deemed necessary and appropriate. If necessary, law enforcement will be engaged.
- c. Infractions of the Code of Conduct on the part of ASPA members may be referred to the ASPA Executive Committee and/or the Ethics and Standards Implementation

Committee for review and resolution. As stated in the bylaws, the National Council may terminate membership or impose other sanctions on members following investigation and recommendation by the Ethics and Standards Implementation Committee for a serious violation of ASPA's Code of Ethics. Infractions of this Code of Conduct may be interpreted to also violate several tenets of the Code of Ethics, including, but not limited to, promoting democratic participation; strengthening social equity; demonstrating personal integrity; and advancing professional excellence. In order to be acted upon in a timely fashion, infractions must be reported within 90 days of the occurrence in order for a review to take place.

## **5. Reporting Unacceptable Behavior**

- a. The safety and security of our attendees are our most important priority. If you are the subject of unacceptable or inappropriate behavior at the conference, notice that someone else is being harassed, or have any other concerns, please notify ASPA staff immediately. They will be available to assist in contacting hotel/venue security or local law enforcement, provide escorts, or otherwise assist those experiencing harassment to feel safe for the duration of the event. In the case of emergency, or if you cannot locate an ASPA staff member, please contact a hotel or venue staff member, or security. We expect participants to be honest and truthful about any questionable behavior they witness on the part of any meeting participant when reporting it to ASPA staff or leadership. Please report behavior as soon as possible after experiencing or witnessing it so that ASPA can take prompt remedial action.
- b. Staff can be located at the event registration desk throughout operating hours, the ASPA membership booth during exhibit hall hours, and in all plenary sessions, Presidential Panels, and officially sponsored receptions. Staff wear badges with a visible Staff ribbon. You also may email [aspaconference@aspanet.org](mailto:aspaconference@aspanet.org) for assistance.
- c. Please refrain from reporting unacceptable behavior through social media channels, as ASPA's channels are not monitored 24/7 and your report may not be seen in a timely fashion.

## **G. Evaluation**

The National Office will develop, distribute in a timely fashion, and review an Annual Conference evaluation sent to all attendees following the event.

## **H. Conference Cities (1946 to present)**

1946 Philadelphia, PA  
1947 Washington, DC  
1948 Washington, DC  
1949 Washington, DC  
1950 Washington, DC  
1951 Washington, DC  
1952 Washington, DC  
1953 Washington, DC  
1954 Chicago, IL  
1955 New York, NY  
1956 Washington, DC  
1957 Chicago, IL  
1958 New York, NY  
1959 Washington, DC  
1960 Los Angeles, CA  
1961 Philadelphia, PA  
1962 Detroit, MI  
1963 Washington, DC  
1964 New York, NY  
1965 Kansas City, MO  
1966 Washington, DC  
1967 San Francisco, CA  
1968 Boston, MA  
1969 Miami, FL  
1970 Philadelphia, PA  
1971 Denver, CO  
1972 New York, NY  
1973 Los Angeles, CA  
1974 Syracuse, NY  
1975 Chicago, IL  
1976 Washington, DC  
1977 Atlanta, GA  
1978 Phoenix, AZ  
1979 Baltimore, MD  
1980 San Francisco, CA  
1981 Detroit, MI  
1982 Honolulu, HI  
1983 New York, NY  
1984 Denver, CO  
1985 Indianapolis, IN  
1986 Anaheim, CA

1987 Boston, MA  
1988 Portland, OR  
1989 Miami, FL  
1990 Los Angeles, CA  
1991 Washington, DC  
1992 Chicago, IL  
1993 San Francisco, CA  
1994 Kansas City, MO  
1995 San Antonio, TX  
1996 Atlanta, GA  
1997 Philadelphia, PA  
1998 Seattle, WA  
1999 Orlando, FL  
2000 San Diego, CA  
2001 Newark, NJ  
2002 Phoenix, AZ  
2003 Washington, DC  
2004 Portland, OR  
2005 Milwaukee, WI  
2006 Denver, CO  
2007 Washington, DC  
2008 Dallas, TX  
2009 Miami, FL  
2010 San Jose, CA  
2011 Baltimore, MD  
2012 Las Vegas, NV  
2013 New Orleans, LA  
2014 Washington, DC  
2015 Chicago, IL  
2016 Seattle, WA  
2017 Atlanta, GA  
2018 Denver, CO  
2019 Washington, DC  
2020 *Cancelled*  
2021 Online  
2022 Jacksonville, FL  
2023 Online  
2024 Minneapolis, MN

## **CHAPTER 12**

### **AWARDS**

#### **A. Purposes of ASPA Awards Program**

ASPA encourages its members to model professionalism, promote excellence, and foster awareness of ethics in public administration. It also demonstrates its pride in its members and recognizes their many and varied contributions to the organization and broader public service community. ASPA's robust awards program advances excellence in public service by identifying and celebrating individuals, organizations, and practices that work well and benefit the public good. It is more important than ever that effective, efficient, and equitable public service be recognized, reinforced, and replicated.

#### **B. ASPA Awards**

##### **1. Elmer B. Staats Lifetime Achievement Award for Distinguished Public Service**

The Elmer B. Staats Lifetime Achievement Award for Distinguished Public Service honors a public administrator's career accomplishments and contributions to the public service and ASPA over a lifetime. The award criteria are threefold:

- a. Career Accomplishments. The nominee may be retired or active in the workforce, but must have at least 20 years of professional public service; made outstanding contributions to an organization or organizations on a sustained basis; and have managed, created, or facilitated significant programs and/or projects within her/his areas of responsibility to the ultimate benefit of the general public.
- b. Contributions to Public Service. Service and contributions to the public and/or nonprofit sector are important factors. Such activities may include service on boards and commissions, governmental service, and service to professional organizations.
- c. Contributions to ASPA. The nominee must have distinguished him or herself through two or more of the following: excellence in leadership of ASPA as its National President; outstanding service as a current or former National Council member; major contributions to the success of ASPA's national committees or boards; excellence in the leadership of Sections and/or Chapters; sustained efforts to enhance the image of the public service profession through ASPA; and other distinguished service to ASPA.

No more than one individual may be selected for the award annually.

##### **2. Donald C. Stone Service to ASPA Award**

The Donald C. Stone Service to ASPA Award pays tribute to an ASPA member who has contributed outstanding services to ASPA. Criteria may include, but are not limited to, one or more of the following:

- a. outstanding service as a current or former National Council member
- b. major contributions to the success of ASPA's national committees
- c. excellence in leadership of Chapters and/or Sections
- d. outstanding contributions to the planning and execution of national or regional conferences
- e. sustained efforts to enhance the image of public service profession through ASPA
- f. other distinguished service to ASPA

No more than two individuals may be selected for the award annually.

### 3. Dwight Waldo Award

The Dwight Waldo Award honors an individual who has made outstanding contributions to the professional public administration literature throughout an extended career.

- a. To be eligible, the nominee must have at least one article published in *Public Administration Review*, plus 25 years of active scholarship that has advanced the public administration discipline.

No more than one individual may be selected for the award annually.

### 4. Equal Opportunity/Affirmative Action Exemplary Practices Award

The Equal Opportunity/Affirmative Action Exemplary Practices Award recognizes individuals and organizations that have made outstanding contributions to a more equal society.

- a. Emphasis will be on achievement and results, not simply effort. The following criteria also apply: complexity of the problems addressed, and organizations directed; severity of the problems addressed; use of original/innovative/effective approaches; impact of contributions.

Up to four awards may be presented to individuals and/or organizations representing the following categories: federal, state or local government units; educational institutions; nonprofit institutions; and private sector organizations.

### 5. International Public Administration Award

The International Public Administration Award honors an individual or organization that has made significant contributions to the study and/or practice of public administration.

- a. For an individual to be eligible for nomination, he/she must:
  - 1) Hold citizenship in a country other than the United States.
  - 2) Live and work primarily in a country other than the United States.

- 3) Contribute significantly to the field of public administration as a scholar, practitioner, or both, as demonstrated by publications, other awards and honors, and the testimony of the nominee's colleagues and beneficiaries of his/her work.
  - 4) Be recommended or sponsored by an individual or institution affiliated with ASPA in a demonstrable way.
- b. For an organization to be eligible for nomination, it must:
- 1) Be headquartered in a country other than the United States.
  - 2) Develop and deliver its program in a country other than the United States.
  - 3) Contribute significantly to the field of public administration by providing an environment that nurtures and advances its practice and/or teaching.
  - 4) Be recommended or sponsored by an individual or other institution affiliated with ASPA in a demonstrable way.

No more than one individual or institution may be selected for the award annually.

#### 6. Oveta Culp Hobby Training Award

The Oveta Culp Hobby Training Award recognizes Chapters and Sections that provide excellent professional development to their members through planned activities. Chapter and Section activities provided during the preceding year are eligible for consideration. Nominations should explain how the programs meet the following criteria:

- a. Is the program offered to ASPA members and transferable to other organizations?
- b. Is the program a vehicle for ensuring ethical practices in government?
- c. Does the program identify new topics and target audiences?
- d. Does the program promote knowledge and skills to be a creative, ethical, and responsible public manager?
- e. Does the program identify beliefs and practices to excel in the public service?

No more than one Section and one Chapter may be selected for the award annually.

#### 7. Patricia Yearwood Chapter/Section Newsletter Award

The Patricia Yearwood Chapter/Section Newsletter Award recognizes a high quality Chapter or Section newsletter that provides a vital means of communication and valuable service to its members. All Chapters and Sections are eligible and must submit at least two issues of their newsletters from the eligibility year to be considered.

No more than one Section and one Chapter may be selected for the award annually.

#### 8. Paul P. Van Riper Award for Excellence and Service

The Paul P. Van Riper Award honors an ASPA member who has made significant contributions as both an academician and practitioner. The recipient will have distinguished him/herself through current and active contributions to, and engagement in, developing the



public service of the future. Special consideration will be accorded to individuals possessing at least two of the following attributes:

- a. a distinguished professional and nationally recognized leader actively and continuously engaged in contributing significantly to the practice and study of public administration for at least 10 years preceding his/her nomination
- b. an exceptional innovator in the practice and/or study of personnel administration and human resource development with a focus on meeting the "human capital" challenges of the 21<sup>st</sup> Century
- c. an outstanding contributor for at least 10 consecutive years of service to ASPA, including previous recognition for exemplary service through a National, Section, or Chapter award.

No more than one individual may be selected for the award annually.

#### 9. Public Integrity Award

The Public Integrity Award pays tribute to an individual or organization that has made outstanding contributions to responsible conduct in public service. The recipient may represent any domain of public service; local, state, national or international government; or nonprofit; and must have a demonstrated track record of accomplishing, or causing to accomplish, significant programs or projects benefiting the general public. This award is not related to ASPA's journal of the same name.

No more than one individual may be selected for the award annually.

#### 10. James E. Webb Founders' Fellow Award

The James E. Webb Founders' Fellow Award recognizes an outstanding Fellow from the current year's class based on an outstanding and high quality conference paper proposal; a clear and concise presentation based on the paper; his/her engagement and commitment throughout the Annual Conference experience. The recipient will receive a complimentary registration for the subsequent year's Annual Conference.

#### 11. *Public Administration Review* Awards

The *Public Administration Review (PAR)* Awards honor individuals for work published in *Public Administration Review* in the year preceding their presentation. There are four:

- a. Louis Brownlow Award, presented for the best article written by a practitioner
- b. Chester A. Newland Award, presented for the best commentary written by a practitioner
- c. Laverne Burchfield Award, presented to the best book review written in *PAR*
- d. William E. Mosher and Frederick C. Mosher Award, presented for the best article written by an academician

## 12. *Public Integrity* Awards

The *Public Integrity* Awards honor individuals for work published in *Public Integrity* in the year preceding their presentation. The awards most recently presented are:

- a. Best Guest Editorial
- b. Best Article
- c. Best Book/Film Review
- d. Best Book Review

## 13. H. George Frederickson *PA TIMES* Best Article Award

The H. George Frederickson *PA TIMES* Best Article Award recognizes the most outstanding article written during the previous specified calendar year. To be considered, articles must fit the following criteria:

- a. The article must be original—that is, not published elsewhere prior to publication in *PA TIMES*.
- b. The article must address a salient public policy and/or management issue.
- c. The article may appear in *PA TIMES* magazine or *PA TIMES* Online.

## 14. Chester A. Newland Presidential Citation of Merit

The Chester A. Newland Presidential Citation of Merit recognizes individuals for their invaluable support to the National President during his/her presidency, as well as tireless service to ASPA.

### **C. ASPA Endowment Awards**

#### 1. John W. Gaston, Jr. Award for Excellence in Public Service Management

The John W. Gaston, Jr. Award for Excellence in Public Service Management recognizes a public manager for excellence in public service management, particularly in natural resource management or environmental protection.

- a. Selection criteria include demonstrated attention to the achievement of results that contribute to public safety, health, welfare, and the quality of the environment through strategy, structure, systems, and shared values and skills.

No more than one individual may be selected for the award annually.

#### 2. Nesta M. Gallas Award

The Nesta M. Gallas Award honors the lifetime achievements of a dedicated public servant and pioneering and innovative leader whose career has been demonstrably characterized by the following:

- a. exemplary efforts to uphold legal and ethical standards locally, nationally, and internationally
- b. sustained work to advance gender equality and diversity
- c. responsible, democratic, and expert accomplishments in public affairs locally, nationally, and globally
- d. mentorship of young academics and public servants who would seek to continue such professionalism in service to the public

No more than one individual may be selected for the award annually.

### 3. Wallace O. Keene ASPA Conference Scholarship

The Wallace O. Keene ASPA Conference Scholarship recognizes students in the fields of public administration and public policy. It provides students with financial assistance to attend the ASPA Annual Conference, broaden their knowledge of the field, and enable them to meet others with similar professional interests. Students must be ASPA members. Up to two students may receive the scholarship annually, which amounts to the value of the conference registration fee, plus sponsored meal events (currently the Social Equity Luncheon and SWPA Breakfast).

### 4. Gloria Hobson Nordin Social Equity Award

The Gloria Hobson Nordin Social Equity Award honors lifetime achievement and effort in the cause of social equity. Candidates may work in state, local, or federal government; the nonprofit sector; or colleges and universities. Elected public officials also are eligible. Employees from the private sector are eligible, as well, but the emphasis is on public sector-related achievement and effort. Candidates do not have to be ASPA members. They will be evaluated on three criteria:

- a. the impact of their efforts on social equity
- b. the consistency and level of effort on behalf of social equity
- c. the duration of the effort on behalf of social equity

No more than one individual may be selected for the award annually.

### 5. Walter W. Mode Scholarship

The Walter W. Mode Scholarship supports a student in a public administration graduate program. The recipient must be an ASPA member, demonstrate a commitment to a public service career, and self-nominate. Nominations by others are not accepted. One student may receive the scholarship, totaling \$1,500, annually subject to Endowment fund balances.

## **D. Center for Accountability and Performance (CAP) Awards**

### 1. Joseph Wholey Distinguished Scholarship Award

The Joseph Wholey Distinguished Scholarship Award recognizes outstanding scholarship on performance in public and nonprofit organizations. Preference is given to a scholarly work that is relevant to the broad public administration community and of interest to both practitioners and academicians. The author(s) must provide a significant contribution to advancing knowledge in a scholarly journal about the development, implementation, use, and impact of performance measurement.

### 2. Harry Hatry Distinguished Performance Measurement Practice Award

The Harry Hatry Distinguished Performance Measurement Practice Award is presented to an individual whose outstanding teaching, education, training, and consultation in performance measurement has made a significant contribution to the practice of public administration. The award recognizes a person who has made outstanding contributions on a sustained basis rather than a single accomplishment. The recipient must have spent the primary part of his/her career in public service.

### 3. CAP Organizational Leadership Award

The CAP Organizational Leadership Award recognizes an organization for outstanding applications of a systems approach to performance measurement resulting in a culture change, sustained improvements, and demonstrated positive effects on government performance and accountability. The award recognizes an organization, rather than a person, for yielding outstanding results on a sustained basis. The organization may be selected from all levels of public service—local, state, or federal government—as well as from international and public service nonprofit organizations. Preference will be given to an organization whose results have been measured and impact documented in the literature or at conferences.

### 4. Emerging Leaders Award of Excellence

The Emerging Leaders Award of Excellence recognizes up to five early- or mid-career professionals in the field of performance management at the federal, state, or local level. The award encourages a new generation of practitioners who are actively implementing performance management systems, innovating new practices, and promoting the importance of performance and accountability within their governments and communities.

## **E. Jointly Sponsored Awards**

### 1. National Public Service Awards

ASPA and the National Academy of Public Administration (NAPA) established the National Public Service Awards program to pay tribute to public service practitioners whose careers exhibit the highest standards of excellence, dedication, and accomplishment. It recognizes

outstanding individuals and underscores the need to have creative and highly skilled individuals as managers of complex and demanding government functions.

Nominations are solicited from the entire public service community, including individuals, government units, professional groups, the business community, nonprofit organizations, and educational groups. Award winners are selected from all levels of public service: local, state, and federal governments, as well as international and public service nonprofit organizations. That said, awards are not made by category. Up to five individuals may receive the award annually. Specific criteria are the following:

- a. Individuals may hold a position in academia or a nonprofit organization, but all recipients must have made significant contributions as career public servants in at least one level of government.
- b. Nominees holding elected office will be evaluated on the basis of their careers in public service, excluding time served as an elected official.
- c. Legislative branch staff are eligible, but legislators without public management experience are not.
- d. Nonprofit organizations must have a service delivery mission.
- e. Individuals retired from a public service career are ineligible.
- f. Candidates shall, on a sustained basis, have done some or all of the following:
  - 1) Made a profound difference in improving service to the public.
  - 2) Been willing to take risks to achieve change.
  - 3) Fostered a more democratic society.
  - 4) Served as a champion of social equity.
  - 5) Changed the way a governmental organization operates so it better achieves its goals.
  - 6) Achieved substantial savings in government.
  - 7) Developed a cadre of other government leaders.

## 2. Rosslyn Kleeman Keeper of The Flame Award

Associated with the National Public Service Awards, the Rosslyn Kleeman Keeper of the Flame Award is a special recognition award for an individual who has continued to provide public service after his/her official retirement from the profession. Those nominated but ineligible for the National Public Service Award due to their retirement status will automatically be considered for the Keeper of the Flame Award. Up to two individuals may receive the award annually.

## 3. Charles H. Levine Memorial Award for Excellence in Public Administration

Jointly sponsored by ASPA and NASPAA, the Charles H. Levine Memorial Award for Excellence in Public Administration recognizes a public administration faculty member who has demonstrated excellence in three major areas of the field: teaching, research, and service to the wider community:

- a. Research. The nominee should have publications in the public administration profession that have made an impact on the field. These publications may include books, refereed journal articles, research notes, monographs, or book chapters.
- b. Teaching. The nominee should have a demonstrated record of outstanding teaching. Teaching evaluations, awards, and accomplishments of students may be submitted as evidence of teaching ability.
- c. Community and Public Service. Service and contribution to the public sector or non-profit sector is an important factor in the award. Such activity may include service on boards and commissions, government service, and service to professional organizations.

#### 4. ASPA/NASPAA Distinguished Research Award

The ASPA/NASPAA Distinguished Research Award recognizes the research of an individual whose published work has had a substantial impact on the thought and understanding of public administration. Not intended to honor lifetime contributions to the field, it recognizes an identifiable body of work by an individual that has had specific consequences for the way we think about the field. The award presentation is alternated between the ASPA conference and the NASPAA conference.

### F. Awards Committees

#### 1. ASPA Awards Committee

- a. The ASPA Awards Committee is responsible for selecting recipients of the following awards: Elmer Staats Lifetime Achievement Award for Distinguished Public Service; Dwight Waldo Award; Equal Opportunity Affirmative Action/Exemplary Practice Award; International Public Administration Award; Oveta Culp Hobby Training Award; Patricia Yearwood Chapter/Section Newsletter Award; Paul Van Riper Award for Excellence and Service; and Public Integrity Award.
- b. The Committee is composed of 12 appointees, with appointees serving three-year staggered terms. Every year, the President appoints two individuals, the President-Elect appoints one, and the Immediate Past President appoints one. Leadership is encouraged to take race, gender, geography, ethnicity, gender identity, sexual orientation, and other important forms of diversity into consideration when making the appointments. Those appointing should coordinate with each other to ensure this diversity.
  - 1) The President appoints the Committee Chair from among the Committee members.
  - 2) Due to the Committee's size and number of award submissions, it is common for the Chair to divide the Committee into multiple subcommittees.
  - 3) No member shall serve more than six consecutive years.
- c. Any award that does not receive nominations for three consecutive years or more shall automatically come before the National Council for sunseting consideration.

## 2. Donald C. Stone Service to ASPA Award Committee

- a. The Donald C. Stone Service to ASPA Award Committee is composed of three appointees from the National Council, each serving a one-year term. The President appoints the members and is encouraged to take race, gender, geography, ethnicity, gender identity, sexuality, and other important forms of diversity into consideration when making the appointments.
- b. The President appoints the Committee Chair from among the Committee members. No member shall serve more than six consecutive years.

## 3. James E. Webb Founders' Fellow Award Committee

The Founders' Fellows Selection Committee selects the recipient of the James E. Webb Founders' Fellow Award during the Annual Conference.

## 4. *Public Administration Review*, *Public Integrity*, Center for Accountability and Performance Awards

The Editors-in-Chief of *Public Administration Review* and *Public Integrity*, as well as the board of the Center for Accountability and Performance, independently establish the selection process and awards entities responsible for their respective awards. Similarly, most Chapters and Sections offer awards and scholarships that convene and select award recipients independent of staff.

## 5. H. George Frederickson *PA TIMES* Best Article Award

The Executive Director, serving as Editors-in-Chief of *PA TIMES*, selects the recipient of the H. George Frederickson *PA TIMES* Best Article Award, in consultation with the Managing Editor and other staff supporting development and production of the publication.

## 6. Chester A. Newland Presidential Citation of Merit

The President selects recipients of the Chester A. Newland Presidential Citation of Merit toward the end of his/her presidential term. There is no limit on the number of recipients, who are recognized at the ASPA Annual Conference.

## 7. ASPA Endowment Awards Committee

- a. The ASPA Endowment Awards Committee is responsible for selecting recipients of the following awards: John Gaston Award for Excellence in Public Service Management; Nesta Gallas Award; Wallace Keene ASPA Conference Scholarships; and Gloria Hobson Nordin Social Equity Award.
- b. The Committee is composed of 10 appointees, with appointees serving three-year staggered terms. The Endowment Board Chair appoints five individuals, the President appoints three and the President-Elect appoints two. Depending on the year, between two and four Committee members' terms expire. Leadership is

encouraged to take race, gender, geography, ethnicity, gender identity, sexual orientation and other important forms of diversity into consideration when making the appointments. Those appointing should coordinate with each other to ensure this diversity.

- 1) The President appoints the Committee Chair from among the Committee members.
- 2) No member shall serve more than six consecutive years.

#### 8. Walter Mode Scholarship Committee

The Walter Mode Scholarship Committee is composed of five appointees, with each appointee serving a one-year term. One member is appointed by the President, one is the President of the Massachusetts Chapter (or his/her designee), and three represent the Mode family. These members are F. Daniel Ahern, Wendy Haynes, and Helen Chin Schlichte. In the event of death, resignation or incapacity of one of these representatives, the remaining two shall select the replacement.

#### 9. National Public Service Awards and Rosslyn Kleeman Keeper of the Flame Award Committee

- a. A joint ASPA-NAPA Committee is responsible for the selection of the recipients of the National Public Service Awards and Rosslyn Kleeman Keeper of the Flame Award.
- a. The Committee is composed of seven appointees, with appointees serving staggered three-year terms. The President appoints three individuals and the NAPA Board Chair appoints four. Depending on the year, either two or three Committee members' terms expire.
- b. The President appoints the Committee Chair from among the Committee members.

#### 10. Charles H. Levine Memorial Award for Excellence in Public Administration

- a. The Charles H. Levine Memorial Award for Excellence in Public Administration Committee is composed of three appointees, with appointees serving three-year staggered terms. The ASPA President appoints two individuals, including the Chair, and the NASPAA President appoints one.
- b. Committee members review one-page nomination statements and request more information, as needed; identify additional nominees should none be submitted; and consider international nominees, as appropriate.

#### 11. ASPA/NASPAA Distinguished Research Award

- a. The NASPAA/ASPA Distinguished Research Award Committee is composed of three appointees, with appointees serving three-year staggered terms. The ASPA President appoints one individual and the NASPAA President appoints two, including the Chair.
- b. Committee members review one-page nomination statements and request more information, as needed; identify additional nominees should none be submitted; and consider international nominees, as appropriate.



## **G. Awards Process**

1. Both members and non-members may nominate themselves or others for ASPA awards, unless otherwise indicated in the awards descriptions. In the latter case, for example, some awards have membership requirements while others require self-nomination. Similarly, unless otherwise indicated, the selection committees shall consider submitted nominations and suggestions from any source. The National Council affirms that “any other source” includes the committee members themselves or the National Office staff.

A recipient of an ASPA or ASPA Endowment Award may not receive the same award more than once. A recipient must wait at least one year after receiving an ASPA or ASPA Endowment award before being eligible for another one.

2. Unless otherwise indicated, the application process requires the following:
  - a. the nominee’s name, agency or organization, email address, mailing address, and phone number. The same details are required for the nominator, even if the applicant is self nominating.
  - b. one-page summary of the nominated individual or organization; CV or resume, as applicable; up to two letters of recommendation; and up to three references. Additional documentation that would be of interest to the committee is requested, but not required, for any award.
  - c. The Walter W. Mode Scholarship, Gloria Hobson Nordin Social Equity Award, National Public Service Award, Rosslyn Kleeman Keeper of the Flame Award, and all CAP awards request additional responses or documentation related to their requirements.
3. Once committee appointments have been confirmed, and continued service of those serving multi-year terms has been confirmed, application materials are collected and distributed to the respective committees, following the awards deadline. Staff coordinate the schedules of committee members, attend conference calls, and take notes regarding the recipient(s) of each award.
4. Committees have latitude in their deliberations, subject to limitation or prohibition in the awards parameters. They may do the following:
  - a. Identify and consider candidates other than those nominated, provided such candidates fulfill the awards criteria and qualifications.
  - b. Opt not to make an award.
  - c. Ask staff about past awardees and/or trends during its deliberation.
5. Once committees make their decision, staff notify those selected and confirm their acceptance. As not all nominees know they have been nominated, staff only communicate the status of those who were not selected to their nominator. As the *PAR*,

*Public Integrity*, and CAP awards are managed separately from the National Office, those responsible entities shall notify the winners.

## **CHAPTER 13**

### **PUBLIC POLICY AND POSITION TAKING**

A core mission of the Society is to promote good and effective governance for the citizens of the United States and throughout the world. To this end, it may wish to engage in varied types of public policy advocacy. Such efforts will relate to one of three types: (1) support for basic principles of effective and equitable democratic governance; (2) sustained efforts to influencing public policy by undertaking actions designed to achieve a goal or objective over a multiyear period; and (3) coordination of individual members advocacy efforts.

#### **A. Resolutions and Policy Statements**

1. From time to time the Society will wish to, and upon occasion may find it necessary to, indicate its support both for basic principles of effective and equitable democratic governance, as well as for various initiatives, conditions, or factors that facilitate or impede its achievement.
2. Responsibility. It is the responsibility of the National Council to approve all statements reflecting the views of the Society. Any member in good standing or staff member may propose one for Council adoption. Such proposed statements shall be sent to the Executive Director who will forward it to the Executive Committee in an expeditious manner.
3. Decision. Upon majority vote, the Executive Committee will forward the proposed statement to the National Council for consideration, adoption, or no action. A conference call will be arranged should the Executive Committee determine that one is required. Members of the National Council may at any time put forward a proposed statement to their colleagues on the Council for consideration, adoption, or no action.
4. Scope and Frequency. Decisions on statements should reside with the Council but, in general, should be national or international in scope. It is Council policy that no more than six such statements will be adopted in any single year.
5. Presidential Statements. This procedure does not include presidential statements. Presidents may issue statements as they wish without moving them through the National Council or Executive Committee. It is best practice and in the interest of the Society that consultation be conducted with the Executive Committee and/or Council prior to the release of any statement.

#### **B. Public Advocacy**

1. Policy advocacy may involve more sustained efforts and series of actions designed to achieve a policy goal or objective over a multiyear period. Such initiatives might include efforts to reform civil service systems, introduce new forms or approaches to public administration training or seeking the enactment of compulsory national service.

2. Any member in good standing may suggest such initiatives to any Council member for consideration. For such an initiative to be undertaken, it must have been discussed at two consecutive National Council meetings and approved by a majority of Council. A proposed action plan must describe activities that the Society might undertake to achieve the objective. The Society will be engaged in no more than two undertakings simultaneously.

### **C. ASPA-Coordinated Advocacy Efforts**

1. Policy advocacy may involve ASPA's coordination of individual members' advocacy efforts. For example, in 2011 and 2012, ASPA supported a *Memos to National Leaders* initiative, in which members were recruited to prepare memos on policy issues relevant to the presidential election and transition. Each memo was the responsibility of the individual author, but ASPA played an important role in bringing the memos together as a whole.
2. The National Council must approve the initiation of such an effort, but the Council will not be responsible for the individual policy positions presented in the advocacy pieces.

### **D. Chapter and Section Advocacy; Member Affiliation with ASPA**

1. Chapters and Sections. Chapters and Sections may engage in issue advocacy as they wish, including issuing statements and other activities, separate from the National organization. However, Chapters and Sections doing so should provide copies of the statements to the national office for dissemination to the National Council at the same time as a public announcement. Those Chapters and Sections engaging in such activities should be clear in all written products that the position taken reflects that of the Chapter or Section, not necessarily that of the national organization.
2. Member Advocacy and Affiliation. Nothing in this proposal limits an individual member from advocating on policy issues as individuals. However, elected representatives have a special obligation to be clear the position they are taking is theirs alone and does not represent the position of the organization as a whole.

ASPA encourages members to be actively involved in public service efforts, including policy engagement. In that regard, we encourage our members to indicate their membership in the Society as long as they do not suggest that the position on behalf of which they are advocating is that of the Society unless it has been previously adopted by the National Council.

## CHAPTER 14

### INTERNATIONAL ENGAGEMENT AND PARTNERSHIPS

As a leading professional association for public service, ASPA has made international engagement a key organizational priority, achieving a variety of objectives reflecting its mission and membership composition. International engagement brings together a broad and engaged cross-section of public service professionals—scholars, practitioners and students—that transcends geographic boundaries. It also provides greater opportunity for meaningful exchanges—both formal and informal—between U.S. and non-U.S. organizations and scholars and enhances ASPA’s international visibility and reputation. ASPA remains committed to establishing and continuing partnerships with organizations that share its mission of advancing *excellence in public service*, domestically and internationally.

Engagement takes different forms, including memoranda of understanding with non-U.S. organizations; jointly hosted or sponsored conferences convened in different countries; and scholarship and information produced through such channels as professional journals, *PA TIMES* magazine and e-learning programs. These activities make ASPA stronger and we are committed to continuing them.

Despite the many benefits, the environment and context within which ASPA undertakes engagement can present considerable challenges. Limits on academic freedom, threats to fundamental human rights and the undermining of democratic processes conflict with, and are antithetical to, ASPA’s core values and Code of Ethics, which all members agree to uphold. Balancing the values and Code with strengthening the breadth and depth of cross-national scholarly exchange requires an intentional and thoughtful approach to how ASPA wishes to engage going forward and the commitments the National Council intends to uphold.

#### **A. International Engagement Values/Alignment with ASPA Values and Code of Ethics**

The Council finds the following seven key values to be fundamental to effective and principled international engagement. Identified by the ASPA President’s Committee on International Scholarly Engagement and contained in its January 2023 report, these values are inextricably linked to ASPA’s four core values of *accountability and performance, professionalism, ethics* and *social equity*. The values also are embedded within one or more of its Code of Ethics’ principles. Specifically:

- Promoting Dialogue and Understanding. This value is consistent with the Code of Ethics’ principle to *advance professional excellence*, defined as “strengthen(ing) personal capabilities to act competently and ethically and encourag(ing) the professional development of others.”
- Protecting Academic Freedom. This value is consistent with the Code’s principle to *demonstrate personal integrity*, defined as “adher(ing) to the highest standards of conduct to inspire public confidence and trust in public service.”
- Respect for Human Rights. This value is consistent with the Code’s principle to *strengthen social equity*, defined as “treat(ing) all persons with fairness, justice and equality and respect individual differences, rights and freedoms; promot(ing)

affirmative action and other initiatives to reduce unfairness, injustice and inequality in society.”

- Supporting the Development of Scholarly Capacity. This value is consistent with the Code’s principle to *advance professional excellence*, defined above, and the principle to *advance the public interest*, defined as “promot(ing) the interests of the public and put service to the public above service to oneself.”
- Respect for the Self-Determination of Communities. This value is consistent with the Code’s principle to *promote democratic participation*, defined as “inform(ing) the public and encourag(ing) active engagement in governance. Be(ing) open, transparent and responsive, and respect(ing) and assist(ing) all persons in their dealings with public organizations.”
- Protecting the Safety and Dignity of Colleagues. This value is consistent with the Code’s principles to *strengthen social equity* and *demonstrate personal integrity*, both defined above.
- Accuracy, Fairness and Transparency in Decision-Making. This value is consistent with the Code’s principle to *fully inform and advise*, defined as “provid(ing) accurate, honest, comprehensive and timely information and advice to elected and appointed officials and governing board members, and to staff members in your organization.”

## **B. ASPA International Engagement**

1. It is Council policy that ASPA will employ these seven key values in the context of its current and prospective international partnerships. Understanding that circumstances associated with individual partnerships are varied in complexity, the purpose of employing these values is to ensure clarity, transparency and intentionality in our relationships. Doing so is critical to advancing ASPA’s core values.
2. For *current or renewing partnerships*, ASPA shall determine the manner in which the partnership aligns with the key values and, where appropriate, seek ways to integrate the values into it. These components may include, but are not limited to, memoranda of understanding, events and programmatic activity, and publications.
3. For *prospective* partnerships, ASPA shall determine the manner in which the potential partnership aligns with the key values, discuss them with the potential partner, document areas of agreement and acknowledge those that present a challenge.
4. The Council is charged with approving formal relationships with non-U.S. organizations. As the Council considers such partnerships going forward—and the activities associated with them—it shall focus intentionally on what a specific partnership means within the context of respecting or advancing the key values.
5. Where there are distinctive challenges or conflict with the key values, the Council shall determine whether the proposed partnership should be approved or if the benefits envisioned could be accomplished through other means. In cases of approval, the Council

shall, in a transparent fashion, note how it arrived at its decision and how the partnership shall appropriately balance the goals of the activity with the key values.

6. Conferences and meetings—both in person and virtual—often are a central activity of ASPA’s partnerships with other organizations. The key values will be taken into account when making decisions on the development and implementation of these events, including site selection. It is the Council’s intent that the key values also will be taken into account by ASPA for its own conferences and meetings, and included in RFPs for prospective locations.
7. Those responsible for the development and execution of current and prospective partnerships, both at the elected leadership and staff levels, will familiarize themselves with the key values and their descriptions, as articulated in the January 2023 report. This is essential to ensuring an informed, reflective and intentional approach to engagement.

### **C. ASPA Stakeholder Engagement**

1. As a means to educate its members and receive feedback, ASPA will promote this intentional approach to international engagement, as well as its key values, through existing programming and external activities, including both U.S.- and non-U.S.-based conferences and events.
2. These policies and guidelines pertain to ASPA as a national organization and its activities. Recognizing the self-directed work of ASPA’s Chapters and Sections, ASPA will share these policies and guidelines with them and invite them to consider how the key values might be incorporated in their own work.
3. This policy will be posted publicly on the ASPA website, [www.aspanet.org](http://www.aspanet.org), accompanied by the January 2023 report and a list of current partnerships and associated activities, as applicable. The webpage will detail how individuals can provide general comments and/or concerns on aspects of ASPA’s implementation of, and commitment to, the key values. The National Office shall respond to such correspondence within no more than 30 days.
4. Prior to finalizing renewing or prospective partnerships, ASPA will report such developments to its membership through appropriate communications channels. Members and stakeholders will be invited to provide comments via email as part of a “public comment” period to be defined. Generally, this period shall be no less than 30 days.

### **D. Memoranda of Understanding**

1. In 2015, the National Council approved policy governing the establishment of formal relationships with non-U.S.-based institutions. Specifically, it provided the guidelines for

the creation of memoranda of understanding (MOU) with likeminded organizations. In so doing, it outlined several working definitions of an MOU, including “an informal agreement between two organizations regarding their roles as they agree to work together;” “an international instrument of a less formal kind. It often sets out operational arrangements under a framework international agreement. It is also used for the regulation of technical or detailed matters” (United Nations); and “a document that records the details of an agreement between two companies or organizations, which has not yet been legally approved” (*The Cambridge Dictionary*).

2. It is the Council’s intent that if the MOU is intended to share information and open communication, it must be followed up with the agreed commitments. If its intention is to generate goodwill and cultivate friendships, another mechanism would be more appropriate.
3. The approval process for entering into an MOU with a cooperating association is the following:
  - a. Purpose
    - An MOU will be signed between ASPA and a cooperating association for a specific initiative, such as a conference, research endeavor or other collaboration.
    - The MOU will outline specific roles of the relationship and commitments made by each party.
    - The MOU will state the expected outcome of the partnership.
  - b. Procedure
    - ASPA will utilize the ASPA MOU template for all written agreements.
    - A letter of request must be sent to the designated ASPA staff member responsible for MOU management. The letter should include the intentions and expected outcomes of such an MOU. It also should include a brief description of the proposed cooperating association.
    - The Executive Director will bring the proposed MOU to the officers for approval and, if approved, to the National Council for consent.
    - If approved, the ASPA National Office will draft an MOU for the partnership and submit it for signature. The Executive Director is the authorized signer on behalf of ASPA, though an elected leader may serve as an additional signer for commemorative or similar purposes.
    - Copies of the signed document will be submitted to and maintained by ASPA. A list of MOU arrangements will be provided on the ASPA website.
  - c. Format. The National Office maintains the MOU template.
  - d. Term Limits
    - The MOU must explicitly list the end of the MOU’s term. The standard term will be four years from the date of the signature, unless stated otherwise on the document.
    - ASPA will not validate MOUs that are continual; a new MOU must be signed once the initial four-year term has expired.



- e. Alternatives. It is understood that certain occasions require a symbolic gesture of cooperation or partnership. In these situations, an MOU is not appropriate as it is not aimed at achieving a specific outcome. The following alternatives can serve as a gesture of friendship and professionalism: certificate of appreciation or letter of support.