



**American Political Science Association  
Board Policies Manual**



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# Bylaws of the Association of the American Political Science Association

Adopted by a majority vote of the members by electronic ballot October 31, 2016. These will go into effect in Summer 2017.

## ARTICLE I. GENERAL

### 1. Name of Organization

The name of the organization is the American Political Science Association (“the Association”). The Association is also known by its initials as APSA.

### 2. Incorporation

The American Political Science Association is organized as a nonprofit corporation under the laws of the District of Columbia.

### 3. Statement of Purpose

- a. The purposes of the Association are to encourage the study of political science, support political scientists in their research, teaching, and public engagement, and publish materials related to political science.
- b. In achieving these purposes, the Association strongly supports academic freedom, freedom of expression, and the equal protection of members and other political scientists regardless of country of origin or residence.
- c. In pursuance of its purposes, the Association may not act in any way that is inconsistent with its tax-exempt status under section 501(c)(3) of the Internal Revenue Code.
- d. The Association as such is nonpartisan and does not support political parties or candidates. The Association encourages individual members in their research, publications, teaching, and public engagement to address significant political and social problems and policies, even when these problems and policies are controversial and subject to partisan discourse. As a corporate body, the Association may take positions on matters of public policy that directly affect its ability to function as an association and conduct business for the good of its members, but the Association may not otherwise commit itself on questions of public policy.

### 4. Limitations

- a. No part of the net earnings of the Association may inure to the benefit of or be distributed to any director, employee or other individual, partnership, estate, trust or corporation having a personal or private interest in the Association. Compensation for services actually rendered and reimbursement for expenses actually incurred in attending to the affairs of the Association is limited to reasonable amounts.
- b. The Association will not carry on propaganda or otherwise attempt to influence legislation to an extent that would disqualify it for tax exemption under section 501(c)(3), and it will not participate in or intervene in (including the publishing or distributing of statements) any political campaign on behalf of or in opposition to any candidate for public office.

### 5. Disposition of Assets

In the event the American Political Science Association is dissolved, assets of the Association are to be applied and distributed as follows: All liabilities and obligations must be satisfied or adequate provision made to do so. Notice must be provided to the Attorney General of the District of Columbia prior to filing for dissolution as required by § 29-412.02(g) of the DC Code. 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 Council, in trust or otherwise, to one or more charitable and educational organizations, organized under section 501(c)(3) of the Internal Revenue Code, of a similar or like nature to the Association.

## ARTICLE II: MEMBERS

The Council establishes all classes of membership and sets the associated dues.

### 1. Individual Members

- a. Any person sharing the purposes of the Association may become a member upon payment of annual dues.
- b. All members of Organized Sections or other sub-units of the Association must also be current members of the Association.

- c. Privileges and rights of individual members. Individual members of the Association may
  1. elect the members of the Council;
  2. attend and participate in the Annual Business Meeting;
  3. participate in the annual meeting and other conferences of the Association upon payment of additional registration fees;
  4. petition to place questions before the membership for a vote;
  5. call for a special meeting of the membership as provided in section 4 of this Article;
  6. vote on amendments to these Bylaws;
  7. inspect and copy the records of the Association as provided in the Policies Manual and in Article IV;
  8. join one or more Organized Sections upon application and payment of the associated dues as set by those Sections; and
  9. receive copies of Association journals upon payment of associated dues or other fees as set by the Council.

### 2. Institutional Members

- a. The Council may create institutional categories of membership, set dues, and define privileges for those memberships.
- b. Institutional members do not have voting rights.

### 3. Regular Meetings of Members

- a. The Annual Business Meeting of the members will normally be held at the time of the annual meeting of the Association.
- b. The purposes of the Annual Business Meeting of members are to hear reports from the Officers of the Association, and to propose, discuss, and vote on matters of importance to the Association, which may include resolutions to be voted on by a ballot of the membership as provided in the Policies Manual.
- c. The annual business meeting may vote on resolutions to put before Council and membership as follows.

1. A quorum for voting at the annual business meeting is 1% of the membership as of the record date.
2. All resolutions to be put to a vote at the annual business meeting must be presented to the president and publicly announced no more than 60 days and no less than 21 days prior to the date of the meeting.
3. Provided a quorum has been achieved, a resolution to send to Council resolutions to be put before the membership, as described in Article III section 3(c), is approved when a simple majority of those members at the annual business meeting has voted to approve.
4. If Council subsequently decides not to put the resolution before the membership for a vote, the immediately following annual business meeting may vote to send the same resolution directly to the membership. Provided a quorum of 2% of the membership as of the record date has been achieved, the resolution is approved when a simple majority of those members at the annual business meeting has voted to approve.
- d. Notice of the time and place of the Annual Business Meeting will normally be given along with the announcement of the annual meeting of the Association during the preceding annual meeting. If circumstances prevent providing notice in this way or require a change in the time and place of a pending Annual Business Meeting, the Council will provide for notice to be transmitted to all members no more than 60 days and no less than 21 days prior to new date of the meeting.

#### 4. Special Meetings of Members

- a. Special meetings of the membership may be called by the Association President or a majority of the Council members at such time and place as the President or Council majority may determine, and must be called upon the written request of at least 10% of the membership as determined by the record date defined in Article IV.
- b. Notice of all special meetings, stating the time and place of such meetings and the purposes for which the meeting is called, must be transmitted to all members no more than 60 days and no less than 21 days prior to the meeting date.

#### 5. Revocation of Membership

The Council may revoke an individual's membership in the Association by a 2/3rds vote of all Council members after hearing from the member whose membership is in question. Unless earlier removed from office according to Article V, Section 9, the membership of a person serving as a member of the Council or an officer of the Association may not be revoked until the end of that person's term of office.

### ARTICLE III: VOTING AND PETITIONING

#### 1. Policies Manual

The Council adopts and amends the Policies Manual of the Association which is published on the Association's website and available in printed form to any member on request.

#### 2. Elections

- a. Election of officers and members of the Council is by electronic ballot as prescribed by these Bylaws and the Policies Manual.
- b. The quorum for elections of officers and members of the Council is 10% of the number of members as of the record date.

#### 3. Voting

- a. Members may vote by written (including electronic) ballot. When a matter is put before the members for a vote other than at a meeting, the ballot must state the number of ballots that must be returned to constitute a quorum, the proportion of affirmative votes required for approval, and the last date (no less than 30 days from the date the ballot is presented to the members) on which a ballot may be counted.
- b. Voting on amendments to these Bylaws is by electronic ballot in accordance with the provisions of Article XIII and as prescribed in the Policies Manual.
- c. Voting on resolutions on questions that are put before the membership is by electronic ballot and as prescribed in the Policies Manual. With respect to such resolutions:
  1. The Council may initiate a resolution and present it to the membership for a vote.
  2. If a minimum of 5% of the number of individual members deliver a petition to the President of the Association to put a matter to the

membership for a vote, the Council must arrange for this vote to take place no less than 30 and no more than 90 days from the date the petition is received by the President.

3. Council may develop recommendations to be appended to the resolution before it is presented to the membership for a vote.
4. Within the limits of section 2, the Council may group resolutions or other matters requiring a vote of the membership to facilitate voting and the attainment of a quorum.
5. A quorum for a vote by written ballot is 10% or more of the number of individual members as of the record date.
6. Any such resolution is approved when the balloting period has closed provided a quorum has been achieved and a simple majority of those voting has voted to approve.

### ARTICLE IV: RECORD DATE; MEMBERSHIP ROSTER

1. The Council may set a record date for the Annual Business Meeting and any other meeting or ballot of the members, which shall be no more than 70 days before the meeting or action requiring a determination of members. In the absence of action by the Council setting a record date, the record date for the Annual Business Meeting shall be 70 days before the meeting, and the record date for a special meeting of the members called by the President shall be 30 days in advance of the meeting. For any meeting held or action taken by petition or written request of the members, as provided in these Bylaws, the record date shall be no more than 70 days before the date the petition or written request is submitted.
2. The list of members entitled to attend the Annual Business Meeting must be prepared as of the record date and must be available at the meeting for inspection by any member.
3. A member may ask to inspect the list of members by delivering a request to the Association's office at any time. The member must state in a request for inspection of the list a proper purpose for which inspection is requested. Within 10 business days after receiving such a request, the Association will deliver to the member either the list or an offer of a reasonable alternative

method of achieving the identified purpose without providing access to or a copy of the list of members. Upon acceptance by the member, the Association will proceed to implementation of the proposed alternative.

## ARTICLE V: THE COUNCIL

### 1. Powers and Duties of the Council

The Council is the governing body of the Association and directs the Association in its corporate capacity. It has charge and supervision of the Association's business, property, and interests, including:

- a. making policy including adopting, amending, and monitoring compliance with the Policies Manual;
- b. approving the appointment and term of the Association's Executive Director;
- c. adopting an annual budget and appropriating Association funds;
- d. requesting and receiving reports annually or as appropriate in writing or in person from program chairs, editors of association journals, standing or other membership committees, and all other component units of the association;
- e. making recommendations to the membership;
- f. giving direction to officers;
- g. creating and dissolving committees for stated periods and stipulated assignments, approving all committee appointments except those described in Article X section 3, and giving direction to committees;
- h. setting categories and dues for Association membership;
- i. approving the appointments and terms of the Association's journal editors;
- j. approving and terminating Organized Sections; and
- k. keeping minutes of its meetings.

### 2. Council Membership

- a. The Association's Council has 32 members: President-Elect, President, Past-President, 3 Vice Presidents, Treasurer, and 24 at-large members; the Executive Director is a non-voting ex-officio member of the Council.
- b. Members of the Council must be members of the Association for the duration of their terms; any member of the Council whose membership lapses is considered to have resigned and the position becomes immediately vacant.
- c. At-large members of the Council serve for a term of three years and may not

serve consecutive terms. If an at-large member is elected as an officer, that member's position as an at-large member of Council becomes vacant and is filled by the Council as prescribed in section 6 of this Article. The term of the officer position determines the length of the term to be served by the newly elected officer.

### 3. Selection Process

- a. Nominees for Officers and at-large members of the Council are named by the Nominating Committee, or by petition of 50 members on the record date delivered to the President at least 60 days prior to the date of voting as set in this section.
- b. In selecting the nominees, the Nominating Committee shall make recommendations with due regard for geographic distribution, field of professional interest, methodological orientation, types of institutions where members are employed, race, ethnicity, gender and gender identity, sexuality, disability, and other important forms of diversity.
- c. Individual members of the Association elect Council Members and Officers by electronic ballot as prescribed by Article III section 2 and in the Policies Manual.
- d. The vote for Council Members and Officers takes place at the time announced on the Association's website.
- e. The names of the nominees being proposed by the Nominating Committee and by members through petition will be announced to the membership as prescribed in the Policies Manual no less than 30 days before the vote takes place.

### 4. Balloting

- a. For each position on the ballot, members may vote "for" (yes), "against" (no), or abstain.
- b. In the event that a member votes "for" more candidates than can be elected to a position, the ballot is spoiled and not counted. A ballot returned with no votes for a position is counted as an abstention.
- c. Candidates must receive more "for" votes than "against." In the event that there are more candidates than open positions, candidates receiving the largest number of positive votes will

be deemed elected, followed by the candidate receiving the next largest number of positive votes, and so on, until all positions are filled.

### 5. Term of Office

Newly elected officers and members of the Council take office immediately following the conclusion of the Annual Business Meeting which follows the date of their election and serve for the term provided in these Bylaws and until a successor is selected as described in these Bylaws.

### 6. Filling Interim Vacancies

- a. President. In the event that death, resignation, or inability to perform the duties of the office prevents the President from completing a term in office, the President-Elect immediately succeeds to the office. Such succession leaves the office of President-Elect vacant; it must be filled by the procedure described in the next section of this section.
- b. President-Elect. In the event that the President-Elect succeeds to the office of President due to vacancy in the office of President, or in the event that death, resignation, or inability to perform the duties of the office prevents the President-Elect from completing a term in office, the office must be filled by the procedure described in the this section.
  1. If the vacancy occurs after the annual election has been completed as provided in Article III section 3, the term of the President-Elect begins immediately and is extended to include the following year.
  2. If the vacancy occurs before the annual election, the Nominating Committee nominates a candidate to serve as President-Elect until the conclusion of the following Annual Business Meeting. The nominee assumes office upon an affirmative vote of the Council.
  3. For the immediately following annual election, in addition to the selection of a President-Elect, a President shall be selected as provided for in these Bylaws.
- c. Members of the Council; Other Officers. In the event that death, resignation, or inability to complete the term of any other officer or a member of the Council, the Council may, with the advice of the Nominating Committee,

fill the vacancy for the balance of term which has become vacant.

- d. Initial Terms under These Bylaws. These Bylaws will go into effect at the start of the first Council election after they have been ratified. In preparation for the first election under these new Bylaws, the Nominating Committee shall select from among current Council members in their second year eight members to serve one additional year, from among current Council members in their first year eight to serve the remainder of the current term plus one additional year, and eight new members to serve three years. Officers elected under previous Bylaws and whose terms have not expired will continue to serve for the fulfillment of their terms.

**7. Council Meetings**

- a. The Council must have at least two regular meetings each year, one to coincide with the Annual Meeting of the Association, and one or more on a schedule set by the Council during the meeting coinciding with the Annual Meeting. The President or the Executive Committee of the Association may call special meetings of Council with at least two weeks' notice of the time, place, and purpose of the special meeting.
- b. 15 voting members constitute a quorum.

**8. Remote Meetings; Action without a Meeting**

A regular or special meeting of the Council does not need to be held at a geographic location if the meeting is held by means of the Internet or other electronic communications technology in a fashion which permits all members to hear (or participate by TTY or similar device) one another simultaneously. Any action required or permitted to be taken at a meeting of the Council may be taken without a meeting if all of the members of the Council consent in writing to the specific action and the written consents are included in the minutes or filed with the corporate records reflecting the actions taken. Action taken under this section is effective when the last Council member signs (including by electronic means) the consent, unless the consent specifies an earlier or later effective date. A consent signed under this section has the effect of a meeting vote and may be described as such in any document.

**9. Removal from Office**

Any Council member may be removed on a vote of 2/3rds of the members of the Executive Committee and 75% of the Council; removal of a Council Member creates a vacancy which must be filled by the procedure described in section 6 of this Article.

**10. Conflict of Interest**

All Council members must annually sign and must comply with the conflict of interest statement that is included in the Policies Manual; a Council Member who fails to sign the conflict of interest statement by the date required is considered to have resigned and the position becomes immediately vacant.

**ARTICLE VI: OFFICERS**

The officers of the Association are the President, the President-Elect, the Past-President, the Treasurer, and three Vice Presidents.

**1. Selection and Appointment**

The President-Elect is elected annually for a one-year term. The Treasurer is elected every third year for a three-year term. The form of the ballot is provided in Article V section 4. Policies for the administration of the election are included in the Policies Manual.

The President-Elect automatically succeeds to the office of President upon the completion of the President's term, or upon the occurrence of a vacancy as described in Article V section 6. The President automatically succeeds to the office of the Past-President upon the completion of the President's term.

**2. The President**

Powers and duties of the President: The President

- a. presides at all meetings of the Council, the Executive Committee, and the Annual Business Meeting;
- b. with the advice of the Council, prepares the agenda for the Annual Business Meeting;
- c. makes a report to the Annual Business Meeting;
- d. sees to it that the business of the Association is faithfully transacted;
- e. appoints Council members to the Policy Committees of Council and appoints the chairs of those committees;
- f. proposes members of the Nominating Committee to the Council for appointment;
- g. serves in other capacities as requested by the Council; and

- h. serves as a non-voting ex-officio member of all Policy committees.

**3. The President-Elect**

Powers and duties of the President-Elect: The President-Elect

- a. proposes for approval by the Council all members of Standing and Membership committees who will serve during the President-Elect's term as President; and
- b. appoints the program co-chairs for the Association's Annual Meeting and the Association's Teaching and Learning Conference.

**4. The Past-President**

The Past-President advises the President in the faithful performance of the office and represents the Association on such occasions as requested by the President. Presides as President pro tem in the event of a temporary absence of the President.

**5. The Treasurer**

Powers and duties of the Treasurer: The Treasurer

- a. reviews and approves the arrangements for the receipt, custody, and disbursement of Association funds, and for keeping the Association's accounts;
- b. reports on the Association's financial condition to the Annual Business Meeting; and
- c. oversees the performance of the Association's investment manager and advises the Council of the manager's recommendations on investment policy.

**6. Vice Presidents**

Three Vice Presidents serve one year terms and must be former members of Council.

**ARTICLE VII. EXECUTIVE DIRECTOR**

- 1. The Executive Director of the Association is selected by the Council and is a non-voting ex-officio member of Council.
- 2. Powers and Duties of the Executive Director: The Executive Director
  - a. serves as the chief executive officer of the Association and transacts its business;
  - b. has charge of the offices, employees, and agents of the Association;
  - c. formulates plans and policies for the accomplishment of the Association's purposes and, upon the

- approval of the Council, is responsible for administration of the Association's affairs;
- d. has custody of the Association's funds, discharges its obligations, and maintains its accounts;
  - e. makes an annual report to the Council;
  - f. keeps minutes of the Council and Executive Committee meetings;
  - g. consults with the President as questions of policy arise; and
  - h. assists and advises all Committees in their work.

## ARTICLE VIII: COUNCIL COMMITTEES

### 1. Executive Committee

The Council has an Executive Committee.

- a. Membership and Composition. The Executive Committee has nine members: the President, President-Elect, Past-president, Treasurer, and the Chairs of all the Policy Committees. The Executive Director also serves as a non-voting ex-officio member.
- b. Duties: The Executive Committee
  1. proposes agendas for Council meetings;
  2. presents budget proposals to the Council and advises the Council on the financial performance and health of the Association;
  3. reviews policy proposals before their presentation to the Council and may make recommendations for action by the Council on proposed policies;
  4. oversees progress after decisions have been made; and
  5. takes and approves minutes of its meetings and reports on its activities to the Council.
- c. Powers. The Committee may act on behalf of the Council in areas and on matters that the Council delegates to it from time to time. The Committee may create Executive Committee subcommittees.
- d. Meetings.
  1. The Executive Committee has at least four regular meetings per year, one at the time of the Annual Meeting and three or more other meetings at times set by the Executive Committee at its meeting at the time of the Annual Meeting.
  2. The President may call a special meeting of the Executive Committee with at least one week notice

specifying the time, place, and purpose of the meeting.

3. A regular or special meeting of the Executive Committee does not need to be held at a geographic location if the meeting is held by means of the Internet or other electronic communications technology in a fashion which permits the members to hear (or participate by TTY or similar device) one another simultaneously.
4. Any action required or permitted to be taken at a meeting of the Executive Committee may be taken without a meeting if all of the members of the Executive Committee consent in writing to the specific action and the written consents are included in the minutes or filed with the corporate records reflecting the actions taken. Action taken under this section is effective when the last member of the Executive Committee signs (including by electronic means) the consent, unless the consent specifies an earlier or later effective date. A consent signed under this section has the effect of a meeting vote and may be described as such in any document.
5. Six voting members of the Executive Committee constitute a quorum.

### 2. Policy Committees

- a. The Policy Committees may include but are not limited to a Membership and Professional Development Committee, a Publications Committee, a Conferences and Meetings Committee, a Teaching and Learning Committee, and a Public Engagement Committee. The purposes of Policy Committees are to assist the Council in its governance and leadership of the Association. A list showing the membership of the current Policy Committees is available on the Association's website and is available to any member on request.
- b. Each Policy Committee is composed of four or more Council members including a chair. The President appoints committee members and chair each year for one-year terms, which may be renewed, and end no later than the end of the member's term on Council.
- c. A Policy Committee develops and recommends to the Council policies relating to its area of responsibility, and reviews and advises the Council on the implementation of related Council decisions.

- d. Policy committees advise, consult with, and accept proposals from Membership and Standing committees of the association as instructed by the President and specified in the Policy Manual.
- e. Policy committees meet at least once a year prior to the meeting of the Council at the time of the Annual Meeting. The chair of a policy committee must give at least 10 days notice of any meeting, including the matter or matters to be discussed, to its members and to the President.
- f. The quorum of a Policy Committee is no less than half the number of members.

## ARTICLE IX. STANDING COMMITTEES OF THE ASSOCIATION

### 1. Nominating Committee

The Nominating Committee consists of six members of the Association.

- a. Membership and Selection. Within 30 days of the conclusion of each Annual Business Meeting, the President appoints, with the advice and consent of the Council and with due regard for geographic distribution, field of professional interest, methodological orientation, types of institutions where members are employed, race, ethnicity, gender and gender identity, sexuality, disability, and other important forms of diversity, three members to the Nominating Committee to serve for two-year terms and designates the chair to serve for the following year.
- b. Powers and Duties. The Committee nominates to the membership candidates for the positions of President-Elect, three Vice Presidents, eight at-large Council members each year, and a Treasurer every three years, in accordance with the provisions of Article V section 3. The Association must publish the list of nominees for members to view 120 days prior to the date of voting.
- c. When selecting the nominees, the Nominating Committee makes recommendations with due regard for geographic distribution, field of professional interest, methodological orientation, types of institutions where members are employed, race, ethnicity, gender and gender identity, sexuality, disability, and other important forms of diversity.
- d. In the event a vacancy occurs among the Officers or the Members of the Council, the Committee nominates to

the Council a person to fill the vacancy as provided in Article V section 6.

- e. The quorum of the Nominating Committee is no less than half the number of members.

## 2. Rules and Elections Committee

The Rules and Elections Committee consists of seven members of the Association.

- a. Membership and composition. Within 30 days of the conclusion of each Annual Business Meeting, the President-Elect appoints three members of the Association for two-year terms to the Rules and Elections Committee, and a member of the Council to serve as Chair for the following year.
- b. Powers and Duties: The Rules and Elections Committee
  1. oversees the election of officers and members of the Council and the processing of petitions of members as provided in these Bylaws and in the Policies Manual;
  2. supervises the counting of ballots and certifies the results to the President and the Executive Director;
  3. reviews the Policies Manual and may recommend to the Council additions, deletions, and modifications; and
  4. reviews compliance with these Bylaws by the Association and may advise changes in practices or policies and may also from time to time make recommendations to the Council as provided in Article XIV for amendments which the Council may present to the membership.
- c. The quorum of the Rules and Elections Committee is no less than half the number of members.

## 3. Audit Committee

The Audit Committee consists of six members of the Association.

- a. Membership and Composition. Two members from among the members of Council, who are not on the Executive Committee, and one from among the individual members of the Association, with experience with audit and financial matters, are appointed by the President-Elect each year for two year terms which may not be repeated. The President-Elect also appoints from among the members of the Committee a chair to serve for the following year. Previous members of the Audit Committee may serve as non-voting ex

officio members of the committee at the invitation of its chair.

- b. Powers and Duties. At least once every five years, the Audit Committee retains an auditor for the Association, within the budget specified by the Council, who serves until a successor is retained; the auditor thus selected may not have served as the Association's auditor within the previous ten years.
- c. The Committee receives reports from the auditor on behalf of the Association and presents the audit to Council along with any recommendations for action.
- d. The Audit Committee will establish and oversee a published whistle blower policy providing protections for officers, staff, agents, and vendors.
- e. The quorum of the Audit Committee is no less than half the number of members.

## 4. Committee on Organized Sections

The Committee on Organized Sections has six members.

- a. Membership and Composition. Members serve two-year terms. The President-Elect shall nominate three members each year and a member to serve as chair for the following year.
- b. Powers and Duties: The Committee on Organized Sections
  1. prepares, reviews, and updates the Organized Section Handbook for approval by the Council;
  2. recommends the creation or termination of Organized Sections for approval by Council;
  3. monitors policies and activities of Organized Sections, in consultation with Sections, on behalf of Council; and
  4. may formulate plans and policies on Organized Sections, in consultation with Sections and any interested members of the Association, for consideration by Council.
5. The quorum of the Committee on Organized Sections is no less than half the number of members.

## ARTICLE X. MEMBERSHIP COMMITTEES

1. The purposes of Membership Committees are to ensure that the Association governs itself efficiently and in a fully inclusive way, to assist the Association to make positive changes in the profession, to further

the advancement of underrepresented groups in the discipline, to articulate the highest ethical standards for the discipline, and for other purposes as specified by the Council in a resolution for the creation of a membership committee. Membership committees will normally interact closely with one or more Policy Committees of the Council as appropriate.

2. The Membership Committees may include but are not limited to the Committee on the Status of Women in the Profession, the Committee on the Status of Blacks in the Profession, the Committee on the Status of Asian-Americans in the Profession, the Committee on the Status of Latinos y Latinas in the Profession, the Committee on the Status of Lesbians, Gays, Bisexuals, and Transgenders (LGBT) in the Profession, and the Committee on Professional Ethics, Rights, and Freedoms. The Council may create or discontinue a Membership Committee, with notice, at any meeting.
3. A list of the current Membership Committees and their members is available on the Association's website and is available in printed form to any member on request.
4. Membership and Composition. For each membership committee, there shall be six or more members from among the Association's membership. The President-Elect shall nominate two or more members each year, for three-year terms of office, and a chair to serve for the following year. For newly created committees, the President-Elect shall nominate at least 6 members, and designate one-, two-, or three-year terms so that approximately one-third of the positions shall be open each year thereafter.
5. Powers and Duties. Membership committees may develop proposals for recommendation to Council on matters affecting their areas of concern and, when accepted, assist Council and staff in implementing those recommendations.
6. Other Committees. Council has the discretion to create other committees for specified purposes, with notice, at any time. A full list of membership committees is published on the Association's website and available in printed form to any member on request.

**ARTICLE XI: ORGANIZED SECTIONS**

1. Council may create Organized Sections for the purpose of building community around areas of research in political science. A list of the current Sections is appended to these bylaws, published on the Association's website, and available in printed form to any member on request.
2. Governance. Organized Sections are governed as follows:
  - a. Organized Sections serve as membership entities within the Association.
  - b. Sections are components of APSA as a whole, are bound by its bylaws and legal status, and accountable to the Council.
  - c. Organized Sections must maintain bylaws outlining policies for section administration, elections, and finances that are uniform and consistent with the Association's bylaws and policies. A current copy of such bylaws must be on file with the Association.
  - d. Council oversees the activities and proceedings of Organized Sections on behalf of the APSA membership.
3. Membership. Organized Sections
  - a. may charge membership dues, which will be collected as part of the overall dues collection of the Association, and
  - b. members of Organized Sections must simultaneously be members of APSA.

**ARTICLE XII: ACTION IN AN EMERGENCY**

1. For purposes of this Article, an emergency exists if a quorum of the Council cannot readily be assembled because of some catastrophic event.

A catastrophic event is a sudden natural or human-made situation where change and destruction has occurred that has limited normal functions in daily living including communications and travel.

2. In anticipation of and for the duration of an emergency, the Council may modify lines of succession to accommodate the incapacity of any officer, Council member, employee, or agent and take any actions that may be necessary to preserve the Association and protect its purposes.
3. During an emergency,
  - a. notice of a meeting of the Executive Committee, Council, or any committee need be given only to those persons it is practicable to reach and may be given in any practicable manner, and
  - b. the required quorum need not be established at such meeting.
4. Corporate action taken in good faith during an emergency to further the ordinary affairs of the Association binds the Association and may not be used to impose liability on a director, officer, employee, or agent.

**ARTICLE XIII: AMENDMENTS TO THE BYLAWS**

1. Amendments to these Bylaws may be proposed by the Council or by a petition signed by 10% of the number of members of the Association as of the record date.
2. The Council must put all proposed amendments to the vote of the members as prescribed in Article III section 3 and the Policies Manual. The Council may make recommendations on a proposed amendment when it is presented to the membership.

3. A quorum for a membership vote on amending the Bylaws is 10% of the number of individual members of the Association as of the record date as defined in Article IV. A proposed amendment is adopted if approved by 2/3rds of those voting. An amendment shall take effect immediately upon ratification unless the text of the amendment provides otherwise.

**ARTICLE XIV: INDEMNIFICATION**

Any present or former director, officer, or committee member of the Association, or other such person or persons so designated by the discretion of Council or by the President, or the legal representative of such person, shall be indemnified by the Association against all reasonable costs, expenses, and counsel fees paid or incurred in connection with any threatened, pending, or completed civil action, arbitration, mediation, administrative proceeding, criminal prosecution, or investigatory action to which any such person or his/her legal representative, may be made a party by reason of being or having been such a director, officer, committee member, or having serving the Association, pursuant to and to the full extent permitted by D.C. Code Title 29, Chapter 4, Subchapter VI, Part E.

**ARTICLE XV: RATIFICATION OF BYLAWS**

These Bylaws will supersede all past constitutions and bylaws on approval of all of the following: a) a majority of the Council, b) a majority of those members attending the next annual all-member Business Meeting, and c) a majority of the members (regardless of whether members have previously voted in the business meeting) voting in a mail ballot, and will take effect at the start of the first election following these steps. ■

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RESTATED  
ARTICLES OF INCORPORATION  
OF THE  
AMERICAN POLITICAL SCIENCE ASSOCIATION

Department of Consumer and Regulatory Affairs  
Washington, D.C.

Under the provisions of the Title 29 of D.C. Code (Business Organizations Act), the domestic filing entity listed below hereby applies for a Certificate of Restated Articles of Incorporation and for that purpose submits the statement below.

FIRST: The name of the Corporation is the American Political Science Association.

SECOND: The restated articles consolidate all amendments into a single record and adopt additional amendments.

THIRD: The text of the amended and restated Articles of Incorporation is attached hereto.

FOURTH: The restated articles were approved by the Board of Directors on August 31, 2016, and by the members with voting rights in respect thereof on October 29, 2016.

American Political Science Association

ATTEST:   
Steven Rathgeb Smith, Executive Director

Date: July 18, 2017

JUL 18 2011

FILE COPY \_\_\_\_\_

ARTICLES OF INCORPORATION

OF

AMERICAN POLITICAL SCIENCE ASSOCIATION

Department of Consumer and Regulatory Affairs  
Washington, D.C.

I, the undersigned natural person of the age of eighteen years or more, acting as the incorporator, adopt the following Articles of Incorporation pursuant to the District of Columbia Nonprofit Corporation Act of 2010:

FIRST: The name of the Corporation is American Political Science Association.

SECOND: The period of duration is perpetual.

THIRD: The Corporation shall have members.

FOURTH: The Corporation is organized and will be operated exclusively for charitable and educational purposes under section 501(c)(3) of the Internal Revenue Code, specifically to encourage the study of Political Science, including Political Theory, Politics, Public Law, Public Administration and International Relations.

In pursuance of its purposes the Corporation shall have the powers to do all things necessary, proper and consistent with obtaining and maintaining its tax-exempt status under section 501(c)(3). All references to sections in these Articles refer to the Internal Revenue Code of 1986 as amended or to corresponding sections of subsequent internal revenue laws.

FIFTH: No part of the net earnings of the Corporation shall inure to the benefit of or be distributed to any director, employee or other individual, partnership, estate, trust or corporation having a personal or private interest in the corporation. Compensation for services actually rendered and reimbursement for expenses actually incurred in attending to the affairs of the corporation shall be limited to reasonable amounts.

SIXTH: No part of the activities of the Corporation shall be the carrying on of propaganda or otherwise attempting to influence legislation to an extent that would disqualify it for tax exemption under section 501(c)(3), and the Corporation shall not participate in or intervene in (including the publishing or distributing of statements) any political campaign on behalf of or in opposition to any candidate for public office.

Notwithstanding any other provision of these Articles or of any Bylaws adopted thereunder, the Corporation shall not take any action not permitted to be carried on by an organization exempt from Federal income tax under section 501(c)(3) or by any other laws then applicable to the Corporation.

SEVENTH: Upon dissolution of the Corporation, its assets shall be disposed of exclusively for one or more exempt purposes within the meaning of section 501(c)(3), or distributed to such organizations organized and operated exclusively for charitable purposes which shall, at the time, qualify as exempt organizations under section 501(c)(3), or to the Federal government or to a state or local government, for a public purpose.

EIGHTH: The Corporation may indemnify a director for liability to any person for any action taken, or any failure to take any action, as a director, except liability for:

- a) Receipt of a financial benefit to which the director is not entitled;
- b) An intentional infliction of harm;
- c) A violation of D.C. Code § 29-406.33; or
- d) An intentional violation of criminal law.

NINTH: The registered agent is Harmon, Curran, Spielberg & Eisenberg, LLP, a commercial registered agent and the address, including street and number, of its registered office is 1726 M Street NW, Suite 600,

# POLICIES MANUAL

Cover sheet

## Rules for Nominations and Elections

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NAME OF POLICY

Approved by Council (date): April 8, 2017

Effective date: April 8, 2017

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): 2017  Not applicable

Distributed to (list): APSA Council

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\_\_\_\_\_  
\_\_\_\_\_

More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

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Nomination by the Nominating Committee: .....1

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**Qualifications for Officers and Members of Council**

To be serve as an officer or member of the Council, a person who has been elected must be a member in good standing of the Association<sup>1</sup> and properly selected as described below or in Article V, section 6 of the Bylaws (filling interim vacancies).

Officers and members of the Council must maintain their membership in the Association for the duration of the term of the office (Article V, section 2(b)).

**Offices to be Filled**

President-elect – succeeds the current President for a one-year term at the end of the annual meeting of the Association in the year following election as President-elect. (The President who has most recently completed the term in office becomes the Immediate Past President at that time.)

Three vice-presidents – one year terms. (Must be former members of the Council.)

Treasurer – three-year term. (Elected every third year.)

Eight members of the Council – three-year terms. (There are twenty-four at-large members of the Council; eight are elected each year for overlapping terms; members of Council may not serve consecutive terms.)

At-large members of the Council may not serve consecutive terms.

**Nomination by the Nominating Committee**

Article IX, section 1 of the Bylaws provides:

- a. Membership and selection [of the Nominating Committee]. Within 30 days of the conclusion of each Annual Business Meeting, the President appoints, with the advice and consent of the Council and with due regard for geographic distribution, field of professional interest, methodological orientation, types of institutions where members are employed, race, ethnicity, gender and gender identity, sexuality, disability, and other important forms of diversity, three members to the Nominating Committee to serve for two-year terms and designates the chair to serve for the following year.

<sup>1</sup> The Bylaws do not require that candidates be members. If a person is elected who is not a member at the end of the Annual Business meeting when new Council members and Officers begin their terms, that person would not be eligible to assume his/her position (Article V, section 2(b)), the position would be vacant, and the terms of Article V, section 5 would apply.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Rules for Nominations and Elections

Page 2

(The Nominating Committee includes six members: these newly appointed members along with the three members appointed for two-year terms in the preceding year.)

- b. Powers and duties. The Committee nominates to the membership candidates for the positions of President-elect, three Vice Presidents, eight at-large Council members each year<sup>2</sup>, and a Treasurer every three years, in accordance with the provisions of Article V section 3. The Association must publish the list of nominees for members to view 120 days prior to the date of voting.
- c. When selecting the nominees, the Nominating Committee makes recommendations with due regard for geographic distribution, field of professional interest, methodological orientation, types of institutions where members are employed, race, ethnicity, gender and gender identity, sexuality, disability, and other important forms of diversity.

Note that the currently serving President-elect becomes President at the end of the Annual Business Meeting; the Nominating Committee's responsibility is to nominate a candidate for the office of President-elect.

### Nomination by petition

Article V, section 3(a) of the Bylaws provides that nominations for officers and at-large members of the Council to be elected in the coming election can be made by delivering to the President at least 60 days prior to the date of voting a petition which names the nominee signed by at least 50 members as of the record date.<sup>3</sup>

### Election

In advance of balloting, the Rules and Elections Committee posts on the Association's website an explanation of the arrangements for the coming election.

The date of the balloting is set by the Rules and Elections committee and announced on the association's website.

The procedures for counting are as follows (Article V, section 4):

- a. For each position on the ballot, members may vote "for" (yes), "against" (no), or abstain.
- b. In the event that a member votes "for" more candidates than can be elected to a position, the ballot is spoiled and not counted. A ballot returned with no votes for a position is counted as an abstention.
- c. Candidates must receive more "for" votes than "against." In the event that there are more candidates than open positions, candidates receiving the largest number of positive votes will be deemed elected, followed by the candidate receiving the next largest number of positive votes, and so on, until all positions are filled.

The Elections Committee supervises the counting of votes and certifies the result of the election to the Executive Director for circulation to the Council and the membership of the Association.

The Elections Committee will consider any challenges to the conduct of the election and determine what if any response is required. The procedures for challenging the conduct or results of the election(s) will be explained in

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<sup>2</sup> Per Article V, section 6(d), the initial terms of the continuing members of the Council are to be divided by the Nominating Committee into two groups of eight. One such group will serve one additional year, the other two additional years. Eight new members of Council will be elected in 2017, and serve three year terms. Thereafter, eight members of Council will be elected each year for three-year terms. Also, officers elected under the former Bylaws will continue in office until the expiration of their terms as specified therein.

<sup>3</sup> In contrast to the previous Constitution and Bylaws, the Bylaws approved in 2016 do not provide for election of officers or members of Council during the Annual Business Meeting; hence there is no provision for nominations from the floor or conducting an election during that meeting.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Rules for Nominations and Elections

Page 3

the Elections Committee's post on the Association's website describing the arrangements for balloting and certification of the results of the election.

# POLICIES MANUAL

Cover sheet

## Electronic Resolutions Put before the Members and Amendments to the Bylaws

NAME OF POLICY

Approved by Council (date): August 30, 2017

Effective date: August 30, 2017

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): \_\_\_\_\_  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

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## Applicability

As provided in Article I, section (1)(c) of the Bylaws, members of the association are entitled to vote by electronic ballot on the following measures:

- a. Election of officers and at-large members of the Council
- b. Resolutions put before the members
- c. Amendments to the Bylaws of the association

A person must be currently enrolled as a member of the Association as of the appropriate record date in order to vote on such matters; institutional members do not have voting rights.

As provided in Article IX, section (2)(b) of the Bylaws, the Rules and Elections Committee oversees balloting, supervises the counting of ballots, and certifies the results to the President and the Executive Director for announcement to the membership.

## Elected Officers and At-large Members of Council

At-large members of Council are nominated and elected as provided in Article 5, sections (2), (3), and (4) of the Bylaws. Officers are nominated and elected as provided in Article VI, section (1) of the Bylaws. The procedures for nomination and election are further specified in the Policies Manual section Rules for the Conduct of Nomination and Elections.

## Resolutions Put Before the Members

Resolutions may be put before the members for a vote by:

- a. Recommendation of the Council
- b. A petition signed by 5% of the membership as of the most recent record date

Article III, section 3(c)(2) of the APSA Bylaws provides that 5% or more of the members of the Association may present a resolution to be put before the members for a vote.

- 1) The petition must be signed by 5% or more of the members of the Association as of the most recent record date; to be counted to meet the 5% threshold, the signer must be a member in good standing of the Association as of the record date.
- 2) The petition must be delivered to the President of the Association accompanied by at least the required number of signatures.
- 3) The text of the petition must set forth fully the matter to be presented to the membership in the resolution. In addition, the petition may contain explanatory or background information to be transmitted to the membership along with the text of the resolution.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

- 4) The resolution must be put to a vote of the membership no less than 30 and no more than 90 days following receipt by the President. Within those limits, the Council may set the dates for balloting to either precede or follow the date of the Annual Business Meeting. (This provision enables the Council to avoid presenting the membership with conflicting proposals – for a direct vote by the membership and for discussion at the Annual Business Meeting – if the timing for consideration required by the Bylaws might cause them to be before the membership simultaneously.)
- 5) The President will circulate the petition to the Council upon receipt. Following the procedure in Article V, section (7)(a), the President may call a special meeting of the Council to consider whether to attach recommendations to the resolution when it is presented to the membership. Such recommendations are permitted by Article III, section (3)(c) of the Bylaws of the Association.
- 6) As provided by Article III, section (3)(a) of the Bylaws, the ballot for the membership must include, in addition to the text of the resolution, any supporting materials provided by the petitioners, and any recommendations from the Council:
  - a. The number of ballots that must be returned to constitute a quorum, which is 10% or more of the members of the Association as of the most recent record date (Article III, section (3)(5));
  - b. The date by which ballots must be returned in order to be counted, which may be no less than 30 days from the date when the ballot is presented to the membership (Article III, section (3)(a)); and
  - c. The proportion of returned ballots that must vote in the affirmative for the resolution to be approved, which is more than the number of negative votes cast assuming the quorum has been achieved (a simple majority). Blank or spoiled ballots will be counted in determining the quorum, but will not be counted as either affirmative or negative votes.
- 7) A resolution is approved when the quorum has been achieved, the balloting period is concluded, and the count of the votes shows that a simple majority has voted in the affirmative.
- 8) A resolution takes effect immediately unless the text of the resolution as adopted states a later effective date.

## Amendments to the Bylaws

Amendments to the associations Bylaws may be proposed by:

- a. The Council
- b. The Council on the advice of the Rules and Elections Committee
- c. A petition signed by 10% of the membership as of the most recent record date

Article XIII, section 1 of the APSA Bylaws provides that 10% or more of the members of the Association may present a resolution to be put before the members for a vote.

- 1) The petition must be signed by 10% or more of the members of the Association as of the most recent record date; to be counted to meet the 10% threshold, the signer must be a member in good standing of the Association as of the record date.
- 2) The petition must be delivered to the President of the Association accompanied by at least the required number of signatures.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

- 3) The text of the petition must set forth fully the amendment to be presented to the membership. In addition, the petition may contain explanatory or background information to be transmitted to the membership along with the text of the amendment.
- 4) The amendment must be put to a vote of the membership no less than 30 and no more than 90 days following receipt by the President. Within those limits, the Council may set the dates for balloting to either precede or follow the date of the Annual Business Meeting. (This provision enables the Council to avoid presenting the membership with conflicting proposals – for a direct vote by the membership and for discussion at the Annual Business Meeting – if the timing for consideration required by the Bylaws might cause them to be before the membership simultaneously.)
- 5) The President will circulate the petition to the Council upon receipt. Following the procedure in Article V, section (7)(a), the President may call a special meeting of the Council to consider whether to attach recommendations to the amendment when it is presented to the membership. Such recommendations are permitted by Article XIII, section 2 of the Bylaws of the Association.
- 6) As provided by Article III, section (3)(a) of the Bylaws, the ballot for the membership must include, in addition to the text of the amendment, any supporting materials provided by the petitioners, and any recommendations from the Council:
  - a. The number of ballots that must be returned to constitute a quorum, which is 10% or more of the members of the Association as of the most recent record date (Article XIII, section 3);
  - b. The date by which ballots must be returned in order to be counted, which may be no less than 30 days from the date when the ballot is presented to the membership (Article III, section (3)(a)); and
  - c. The proportion of returned ballots that must vote in the affirmative for the resolution to be approved, which is two-thirds or more of the completed ballots in favor of the amendment and less than one third opposed. Blank or spoiled ballots will be counted in determining the quorum, but will not be counted as either affirmative or negative votes.
- 7) The amendment is approved when the quorum has been achieved, the balloting period is concluded, and the count of the votes shows that two-thirds or more of the completed ballots cast in favor of the amendment.
- 8) An amendment takes effect immediately unless text of the amendment as adopted states a later effective date.

# POLICIES MANUAL

Cover sheet

## APSA Council Nominations by Petition

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NAME OF POLICY

Approved by Council (date): April 8, 2017

Effective date: April 8, 2017

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): 2017  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Nominations by Petition

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Along with the slate of nominees selected by the Nominating Committee, APSA accepts additional nominees for Officers and at-large members of the Council by petition of 50 members. Nominations by petition should be submitted to the President via [nominations@apsanet.org](mailto:nominations@apsanet.org) no later 60 days prior to the date of voting using the candidate consent form and official nomination form.

Petitions must be signed by a minimum of 50 current APSA members and must include the name, affiliation and email address of each signatory. APSA membership for supporting signatories must be valid on the date that the candidate nominations are received at [nominations@apsanet.org](mailto:nominations@apsanet.org). Please email candidates using return request receipt, and retain a copy of the email receipt and date stamp for your records.

### **Bylaws Article V, Section 3(a)**

Nominees for Officers and at-large members of the Council are named by the Nominating Committee, or by petition of 50 members on the record date delivered to the President at least 60 days prior to the date of voting as set in this section.

**American Political Science Association  
Official Nomination Form**

**Purpose:** This form shall be used to notify APSA of nominations for the position of president-elect, vice president, secretary, treasurer, and council member.

**Deadline:** Nominees for Officers and at-large members of the Council submitted by petition must be delivered to the President via [nominations@apsanet.org](mailto:nominations@apsanet.org) at least 60 days prior to the date of voting. Please visit [www.apsanet.org](http://www.apsanet.org) for updated information about the election date. Petitions must be signed by a minimum of 50 current APSA members and must include the name, affiliation and email address of each signatory. APSA membership for supporting signatories must be valid on the date that the candidate nominations are received at [nominations@apsanet.org](mailto:nominations@apsanet.org).

**Candidate Consent:** This form must be accompanied by the Candidate Consent Form.

**Complete parts one and two**

**PART ONE: Proposed Candidate**

Position	Candidate's Name	Candidate's Institution

**PART TWO: Petition Signatures**

		Signature	Institution
<b>Supporters:</b>	<b>1.</b>		
	<b>2.</b>		
	<b>3.</b>		
	<b>4.</b>		
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**American Political Science Association  
Official Nomination Form**

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**American Political Science Association  
Official Nomination Form**

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**APSA Use Only**

Received by APSA by \_\_\_\_\_ Date \_\_\_\_\_ Time \_\_\_\_\_

Acknowledged by \_\_\_\_\_ Date \_\_\_\_\_ Time \_\_\_\_\_  
(President or other designee)

**American Political Science Association  
Official Candidate Consent Form**

**Directions:** The completed Candidate Consent Form should accompany the Official Nomination Form. Please send to [nominations@apsanet.org](mailto:nominations@apsanet.org)

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By signing this form, I, \_\_\_\_\_, agree to be a candidate for the office of \_\_\_\_\_.

\_\_\_\_\_  
Nominee's Signature

\_\_\_\_\_  
Date

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**APSA Use Only**

Received by APSA by \_\_\_\_\_ Date \_\_\_\_\_ Time \_\_\_\_\_

Acknowledged by \_\_\_\_\_ Date \_\_\_\_\_ Time \_\_\_\_\_  
(President or other designee)

# POLICIES MANUAL

Cover sheet

## Rules for the Annual Business Meeting

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NAME OF POLICY

Approved by Council (date): April 8, 2017

Effective date: April 8, 2017

Replaces policy adopted (date): 2016  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): 2017  Not applicable

Distributed to (list): APSA Council

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\_\_\_\_\_  
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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

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### Time and Location

The annual business meeting will be held during the annual meeting at a time or times to be announced at the previous annual meeting of the association. As necessary, further sessions will be held during the times announced for that purpose.

All resolutions to be considered at the annual business meeting received by the President, whether proposed by a petition of members or by a decision of the Council, will be publicly announced to the membership no less than 21 days prior to the announced date of the meeting. (Article II, section (3)c2)<sup>1</sup>

This meeting may also be referred to as the Annual All Member Meeting.

(Note: If circumstances prevent announcement or require a change in the time or place of the next annual business meeting as described about, the Council will provide notice of the new arrangements as required by Article II, section 3(d).)

### Adjournment

If necessary, the meeting may be adjourned without notice to continue at the time announced for that purpose. Further adjournments, if necessary, may be determined by the members then present whether or not they constitute a quorum.

### Attendance

Members whose membership was current as of the record date may attend the meeting. (The record date is described in Article IV of the Bylaws of the association.)

Each eligible member will receive a ticket of admission to the meeting with other materials at registration. This admission ticket is to be used by the member to vote as directed by the chair during

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<sup>1</sup> References are to the Association's bylaws as adopted in 2016.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Rules for the Annual Business Meeting

Page 2

the meeting. Any member of the association whose membership was current as of the record date may receive an admission ticket; a member who is not registered to attend the Annual Meeting may obtain an admission ticket at the registration desk no later than 60 minutes after the announced start of the annual business meeting.

Associate members and nonmembers who have paid the registration fee and representatives of the media may attend the meeting but they may not participate in the discussions or vote.

### **Presiding Officer and Parliamentarian**

The President of the Association (or designee) serves as the presiding officer, with all the duties and powers that attach to that office. The President of the Association appoints a person (whether or not a member of the association) to advise on questions of parliamentary procedure if and when they arise. A parliamentarian (if any) must be appointed at least 21 days prior to the date of the annual business meeting.

### **Quorum**

No business may be conducted until 1% of the membership as of the record date are present in the meeting room. A quorum of 2% of the membership as of the record date is required for voting on returned resolutions as described in the APSA Bylaws Article II, section 4.

### **Agenda and Supporting Materials**

The agenda of the Annual Business Meeting is:

- 1) President's report
- 2) Treasurer's and other reports
- 3) Resolutions
- 4) Other business

A preliminary agenda for each Annual Business Meeting, including the texts of all proposed amendments of the Bylaws and resolutions, is published on the APSA website at least 21 days before the start of the Association's annual business meeting.

The Council prepares and publishes a final agenda for the Annual Business Meeting, with the Council's recommendations on each proposed amendment to the Bylaws and resolution. The final agenda is available to participants from the beginning of the Annual Business Meeting.

The Report of the Treasurer and any other reports recommended by the Council for distribution to the membership at the annual business meeting will be published on the association's website no less than 14 days prior to the date of the annual business meeting.

### **Discussion of Reports**

The President will provide an annual report on the association's present activities.

The presiding officer will call upon the Treasurer to give the report required by Article VII, section 5(b).

The presiding officer will announce the number of additional reports to be presented and may request an indication of the number of participants interested in speaking on each report and set a maximum

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Rules for the Annual Business Meeting

Page 3

time for discussion of the reports. Within the limits set based on this information, the presiding officer will schedule time for questions and discussion for the reports.

A motion to re-refer a report to the body or person who has prepared it, along with comments from the membership, is in order at any time. The motion requires a second, is debatable, and requires the affirmative vote of a simple majority of those present and voting to pass. A successful vote to re-refer ends discussion of the report.

A motion to refer a report to the Council, an officer, or a committee or group within the association, along with comments from the membership, is in order at any time. The motion requires a second, is debatable, and requires the affirmative vote of a simple majority of those present and voting to pass. A successful vote to refer ends discussion of the report.

A motion to conclude discussion on the current report is in order at any time when the maker has been recognized, does not require a second, is not debatable, and if adopted by a simple majority of the members voting, takes immediate effect.

### **Discussion of Resolutions**

The presiding officer opens discussion of proposed resolutions by setting a time limit for discussion.

For each resolution proposed by the Council, the first speaker on the resolution is designated by the Council. The first speaker for each resolution proposed by petition, the first speaker is the first signer of the proposal (or a designee). The first speakers may speak in support of the proposal for a maximum of five minutes.

Following the first speaker on any resolution proposed by petition, a member proposed by the Council presents the Council's recommendation concerning the resolution by speaking for a maximum of five minutes.

Thereafter, for so long as the time allotted permits, the presiding officer will recognize to speak for a maximum of three minutes alternately participants opposed to and supportive of the proposal.

A motion to conclude discussion on the current resolution is in order at any time when the maker has been recognized, does not require a second, is not debatable, and if adopted by a simple majority of the members voting, takes immediate effect.

### **Amendments to Resolutions**

A motion to amend the resolution is in order at any time when the maker has been recognized. The motion requires a second. The maker of the motion may speak in support for a maximum of three minutes.

The motion must be germane as determined by the presiding officer. A motion to appeal the presiding officer's determination may be made immediately after the determination is announced – no second is required, the motion is not debatable, and requires a simple majority of those voting to be approved.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Rules for the Annual Business Meeting

Page 4

The presiding officer may set a time limit for discussion of the amendment. Within that time limit, the presiding officer recognizes speakers to speak for a maximum of three minutes alternatively from among those supporting and those opposing the amendment.

A motion to conclude discussion on the current amendment is in order at any time when the maker has been recognized, does not require a second, is not debatable, and if adopted by a simple majority of the members voting, takes immediate effect.

A motion to extend the time allowed for discussion of the amendment for a specified length of time may be made whenever the maker has been recognized or immediately following the presiding officer's announcement that the time limit for discussion has been reached. The motion must be seconded, is not debatable, and, if adopted by a simple majority of the members voting, takes immediate effect.

Voting on the amendment to the resolution occurs when a motion to conclude discussion has been adopted or when the time limit for discussion has been reached. The presiding officer will repeat the text of the proposed amendment of the resolution and call for the ayes and nays. The presiding officer may require a show of hands if the outcome is not clear or upon a request supported by more than 10% of those present and voting. An amendment to a resolution is adopted when the amendment is supported by a simple majority of the members present and voting.

The process described above is followed if and when an amendment to the amendment of the resolution is proposed.

A motion to extend the time allowed for discussion of the resolution for a specified length of time may be made whenever the maker has been recognized or immediately following the presiding officer's announcement that the time limit for discussion has been reached. The motion must be seconded, is not debatable, and requires a simple majority of those voting to be approved.

A motion to postpone the current discussion in order to allow discussion of another related matter is in order whenever the maker has been recognized. The motion requires a second, is not debatable, and must be approved by more than 66% of the members voting to be adopted. When the discussion of the related matter is completed, discussion of the current resolution continues until the time limit is reached or a motion to conclude discussion is adopted.

Motions to "table" or "postpone indefinitely" are not allowed; a member wishing to end discussion of the resolution currently being discussed should make a motion to end discussion as provided above.

Voting on the resolution occurs when a motion to conclude discussion has been adopted or when the time limit for discussion has been reached. The presiding officer will repeat the text of the proposed resolution (as amended if applicable) and call for the ayes and nays. The presiding officer may require a show of hands if the outcome is not clear or upon a request supported by at least 10% of those present and voting. A resolution requires the affirmative vote of a simple majority of those members present and voting to be adopted.

The Council will present each adopted resolution to the membership of the Association by secret ballot as provided in Article II, section 3(c)3 of the Bylaws.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Rules for the Annual Business Meeting

Page 5

### **Other Business**

The presiding officer opens discussion of other business by setting a time limit for the discussion.

Any officer or member of the Council may offer a topic for discussion as other business and speak for no more than five minutes in explanation of the topic and its importance to the association. The presiding officer recognizes any members wishing to speak on the topic.

No action may be taken on the topic except to refer the matter to an officer, the Council, or a committee of the association for further consideration and action as appropriate. Such a referral may be suggested by the presiding officer or upon a motion of a member during discussion of the topic. Such a motion requires a second, is debatable, and requires a simple majority of those voting to be approved; debate on such a motion is limited to the choice of the officer or group to which the matter is to be referred.

A motion to conclude discussion on the current topic is in order at any time when the maker has been recognized, does not require a second, is not debatable, and if adopted by a simple majority of the members voting, takes immediate effect.

If no further officers or members of the Council rise to offer topics for discussion as other business, any member of the association may do so and speak for no more than five minutes in explanation of the topic and its importance to the association. The presiding officer recognizes any members wishing to speak on the topic.

No action may be taken on the topic except to refer the matter to an officer, the Council, or a committee of the association for further consideration and action as appropriate. Such a referral may be suggested by the presiding officer or upon a motion of a member during discussion of the topic. Such a motion requires a second, is debatable, and requires a simple majority of those voting to be approved; debate on such a motion is limited to the choice of the officer or group to which the matter is to be referred.

A motion to conclude discussion on the current topic is in order at any time when the maker has been recognized, does not require a second, is not debatable, and if adopted by a simple majority of the members voting, takes immediate effect.

A motion to extend the time allowed for discussion of other business for a specified length of time may be made whenever the maker has been recognized or immediately following the presiding officer's announcement that the time limit for discussion has been reached. The motion must be seconded, is not debatable, and requires a simple majority of those voting to be approved.

# POLICIES MANUAL

Cover sheet

## Record Dates

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NAME OF POLICY

Approved by Council (date): August 30, 2017

Effective date: August 30, 2017

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): \_\_\_\_\_  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Record Dates

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Many sections of the Bylaws require persons to be members of the Association as of a record date in order to participate in the affairs of the Association. This policy describes the process for setting and announcing a record date.

At its regular meeting required by Article V, section (7) of the Bylaws, the Council will set five record dates for the following calendar year at intervals of approximately 70 days; one of these dates must be no more than 70 days prior to the date selected for the Annual Business Meeting in that year.

If accommodating the date of the Annual Business Meeting creates a gap of more than three days between the periods following any two record dates, the Council will set an additional record date which assures that there is no interval during the year that is more than three days from an established record date period. If any action which requires reference to a record date is initiated during an interval more than 70 days after and three or more days before the next record date, that action will be considered to have been received as of the succeeding record date.

The Council will cause the schedule of record dates for the following year to be published on the Association's website before December 31<sup>st</sup> of the current year.

# POLICIES MANUAL

Cover sheet

## Rules for Electronic Signatures

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NAME OF POLICY

Approved by Council (date): August 30, 2017

Effective date: August 30, 2017

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): \_\_\_\_\_  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Rules for Electronic Signatures

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Where APSA rules require signatures, including personal signatures, for resolutions, nominations, or amendments, APSA will accept electronic messages (e.g., e-mails) meeting the following conditions:

1. There is a single signer per electronic message.
2. The message includes the signer's APSA member ID number.
3. The message clearly indicates the content of the resolution or amendment, or names and office of candidates, that the signer is endorsing.
4. The message originates from an electronic address that can be authenticated as belonging to the signer.

If the electronic message does not meet all of the above requirements, the chair of the Rules and Elections Committee will attempt a good faith effort to either resolve the requirement or contact the member for clarification. If the Rules and Elections Committee attempts fail, it will determine the validity of the signature.

Electronic signatures may be sent by e-mail directly to the APSA offices, which will acknowledge receipt, or may be submitted in printed form in a package with the resolution or amendment. The signer should alert APSA if any endorsement emailed directly to the association is not acknowledged within seven (7) days.

The APSA Rules and Elections Committee shall have responsibility for certifying signatures conveyed through electronic messages.

# POLICIES MANUAL

Cover sheet

## Provision of Materials to Council

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NAME OF POLICY

Approved by Council (date): August 30, 2017

Effective date: August 30, 2017

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): \_\_\_\_\_  Not applicable

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Provision of Materials to Council

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The Bylaws require at least two regular meetings each year and allow for the President or Executive Committee to call special meetings of Council with at least two weeks' notice of the time, place, and purpose of the special meeting. For each regular Council meeting, a draft agenda shall be delivered to the Council members no less than 14 days in advance of the scheduled meeting, together with any supporting materials necessary to inform the members of the business to be discussed. For any special meetings supporting materials shall be delivered to the Council members no less than 7 days in advance of the meeting.

# POLICIES MANUAL

Cover sheet

## Delegation to Executive Committee

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NAME OF POLICY

Approved by Council (date): April 4, 2020

Effective date: April 4, 2020

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): \_\_\_\_\_  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

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

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Delegation to Executive Committee

### **Emergency Delegation**

Whereas the APSA Bylaws grants the Council the power to delegate to the Executive Committee the authority to act on behalf of the Council from time to time in areas and on matters; now therefore be it Resolved that in accordance with Article VIII. Section 1. c. of the APSA Bylaws, we the undersigned, being Council Members of the American Political Science Association (APSA) consent and agree to delegate to the APSA Executive Committee the authority to act in emergency situations where new information creates a need for urgent decision-making and it is infeasible or impractical to gain approval from the entire APSA Council. The APSA Council will be immediately alerted to actions taken under this provision, and the APSA Executive Committee will fully report such actions to the Council at or before the subsequent Council meeting.

### **Delegation of Authority to Act on Ethics Committee's Findings, Recommendations, and Sanctions**

Whereas the APSA Bylaws grants the Council the power to delegate to the Executive Committee the authority to act on behalf of the Council from time to time in areas and on matters; now therefore be it Resolved that in accordance with Article VIII. Section 1. c. of the APSA Bylaws, we the undersigned, being Council Members of the American Political Science Association (APSA): consent and agree to delegate to the APSA Executive Committee the authority to act on behalf of the APSA Council on any findings, recommendations, and sanctions prepared by the APSA Committee on Professional Ethics, Rights and Freedoms. Any sanctions reserved to the discretion of the Council in the APSA Bylaws would, however, remain under the purview of the APSA Council, and the responding party would have a right to appeal to the Council the decision of the Executive Committee in accordance with procedures, including grounds for appeal, established by the Executive Committee. The APSA Executive Committee will report such actions to the Council in an appropriate and timely manner.

# POLICIES MANUAL

Cover sheet

## Inspection of Records

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NAME OF POLICY

Approved by Council (date): August 30, 2017

Effective date: August 30, 2017

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): \_\_\_\_\_  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

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Article II, section (1)(c) of the APSA Bylaws describes the privileges and rights of individual members; subsection (7) provides that individual members may inspect and copy the records of the Association as provided by this policy and as further described (with respect to the roster of members) in Article IV.

**Generally**

- 1) This policy applies to all records of the Association which do not contain personally identifiable information about any person. As provided in sub-paragraph 3) b) below, records that do contain personally identifiable information may be redacted or withheld from inspection. The Association will routinely comply with an order of a court to provide access to any of its records.
- 2) A member wishing to access a record or records of the Association may make a request to do so at any time. This request must include:
  - a. The member’s name (or, in the case of a request by several members, all the members’ names).
  - b. Specification of the record or records in question in sufficient detail to permit identification and assembly of the requested materials at the Association’s offices.
  - c. A proposed date and time during normal business for the inspection. This date may be no sooner than 10 business days from the date the request is delivered to the Executive Director at the Association’s offices.
- 3) Subject to the limitations of sub-paragraph 1), upon receipt of a request as described in sub-paragraph 2), the Executive Director will confirm the date and time for inspection of the record or records and make arrangements for identification and assembly of the record or records at the Association’s office.
  - a. In the event that the proposed date is impractical for any reason, the Executive Director may propose an alternative practical date or dates. Such alternative dates will be chosen to avoid unreasonable delay and may be adjusted to accommodate the member’s or members’ preferences.
  - b. Prior to the date of inspection, the Executive Director will review the requested record or records and may withhold from inspection any record containing personally identifiable information or redact any personally identifying information prior to making the record available for inspection. The Council will consider and make a decision concerning additional access, if any, if a member of the Association objects in writing to conditions limiting access to such records.
- 4) At the agreed upon time, the Association will provide an appropriate working area at or near the Association’s offices in which the records may be examined.
  - a. During the inspection, records may be copied using equipment provided by the inspecting group or copied at reasonable times by the Association. If copies are

# AMERICAN POLITICAL SCIENCE ASSOCIATION

- provided by the Association, the cost to the inspecting group will be \$2.50 per sheet (one-sided).
- b. During the inspection, the inspecting group is responsible for preserving the arrangement and integrity of the records being inspected. Records may not be removed from the working area or damaged in any way. The Association may recover the full cost of restoring the original order or repairing or replacing any record damaged or lost in the course of the inspection.
  - c. The working area will be available during normal business hours for as much time as is required to complete the inspection to the member or members satisfaction.
  - d. If the scheduled inspection results in a request for additional records for any reason, the Executive Director may require a new inspection request (as provided in subparagraph 2) above) or may, if convenient and practicable, waive that requirement to permit expeditious completion of inspection of additional material.

## Membership Rosters

- 1) Article IV, section (3) of the Association's Bylaws provides that a member may ask to inspect the list of members by delivering a request to the Association's office at any time. The member must state in the request for inspection of the list a proper purpose for which inspection is requested. Within 10 business days after receiving such a request, the Association will deliver to the member either the list or an offer of a reasonable alternative method of achieving the identified purpose without providing access to or a copy of the list of members. Upon acceptance by the member, the Association will proceed to implementation of the proposed alternative.
  - a. A reasonable alternative as described in this section may require the member or members seeking access to the roster of members to reimburse the Association for a reasonable estimate of the cost of performing the necessary activities and of any materials or other services required to accomplish the stated purposes.
- 2) Members wishing to communicate with all members of the Association may use APSA Connect (<https://connect.apsanet.org>) for any purpose consistent with the Term of Use (<https://connect.apsanet.org/terms/>). Such uses include discussion of Association policies, candidates for elected positions in the governance of the Association, proposed or pending activities of the Association, and potential scholarly collaboration among members. Such uses do not include urging engagement by members of the Association in activities that are beyond the scope of the Association's normal activities, offers of merchandise or services, defamation or slanders directed at any person, whether or not a member of the Association, and pursuit of other damaging goals or objectives.
  - a. If a member is uncertain about the appropriateness of a proposed use of APSA Connect to circulate a specific message, the member may make an inquiry to the Executive Director, who will respond within 10 business days. If the Executive Director refuses to authorize the proposed use, or sets conditions which are unacceptable to the member who has made the proposal, and the member objects within 5 business days, the Executive Director will immediately notify the President of the Association, who will call a Special Meeting of the Council as described in Article V, section (7)(a) of the Bylaws of the Association to consider the matter; the decision of the Council in such a meeting is final.

AMERICAN POLITICAL SCIENCE ASSOCIATION

Inspection of Records

Page 3

# POLICIES MANUAL

Cover sheet

## Investment Policy

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NAME OF POLICY

Approved by Council (date): April 4, 2020

Effective date: April 4, 2020

Replaces policy adopted (date): 2015  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): 2020  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

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

**AMERICAN POLITICAL SCIENCE ASSOCIATION**  
**INVESTMENT POLICIES AND PRACTICES**  
**April 4, 2020**

**I. INVESTMENT PRINCIPLES**

Investment portfolios and other assets of the American Political Science Association (APSA) are held in trust for the benefit of the APSA's members. APSA officers and staff are obligated to exercise prudent management to preserve those assets, provide for growth in their value, and apply their income, all with the interests of the membership in mind.

**II. ROLE OF THE APSA COUNCIL (ARTICLE V.1 OF APSA BY-LAWS)**

The APSA Council officially has supervision of the APSA's business, property, and interests. The Council has responsibility for adopting an annual budget and appropriating APSA funds. APSA's Investment Policies and Practices require the approval of the APSA Council, which may provide feedback or questions regarding investment strategies and ethical investing.

**III. ROLE OF THE APSA EXECUTIVE COMMITTEE (Article VIII.1 of APSA by-laws)**

The APSA Executive Committee presents budget proposals to the Council and advises the Council on the financial performance and health of the APSA. The Executive Committee reviews and provides input on the APSA Investment Policies and Practices. The Executive committee provides recommendations and guidance to the APSA Council regarding investment strategies and the approval of the APSA Investment Policies and Practices. The APSA Executive Committee may periodically consult with the Investment Committee for input and recommendations on APSA investments.

**IV. ROLE OF THE APSA TREASURER (Article VI.5 of APSA by-laws)**

The APSA Treasurer reviews and approves the arrangements for the receipt, custody, and disbursement of APSA funds, and for keeping the APSA's accounts; reports on the APSA's financial condition at the Annual Business Meeting; and oversees the performance of the APSA's Investment Consultant and advises the Council of the Consultant's recommendations on investment policy. The APSA Treasurer serves on the APSA Investment Committee and provides recommendations and guidance to the APSA Executive Committee and the APSA Council regarding investment strategies and the APSA Investment Policy.

**V. ROLE AND RESPONSIBILITIES OF THE APSA INVESTMENT COMMITTEE**

The main responsibility of the Investment Committee is to provide a strategic framework for the investment of APSA's financial assets and to monitor the APSA investment managers. As part of its strategic framework, the APSA's financial assets will be allocated to investments which meet various environmental, social, and (corporate) governance (ESG) standards to the extent that it is possible to do so without greatly increasing the risks or reducing the returns of the portfolios. These standards include, but are not limited to, the following:

- Environmental factors - how a company performs as a steward of the natural environment.

## Investment Policies and Practices

- Social factors - how a company manages relationships with its employees, suppliers, customers, and the communities in which it operates.
- Governance factors - the quality and reasonableness of a company's leadership, executive pay, audits and internal controls, and shareholder rights.

To help implement the strategic framework, the Investment Committee will recommend to the APSA Executive Committee investment objectives and guidelines for its investment policy consistent with the strategic framework.

Within the APSA's strategic framework as defined by this Policy, the Investment Committee has discretionary authority to approve the addition and deletion of investment managers. Further, when donations are made to the APSA in the form of a mutual or commingled investment fund, the Investment Committee has the discretionary authority to determine if the investment fund should be maintained or liquidated and reallocated consistent with the respective portfolio's strategic allocation framework.

The Investment Committee will also ensure that any investment managers hired to implement the investment policy abides by the APSA's statement of Investment Policies and Practices and request corrections when necessary. The Investment Committee will meet this responsibility by having at least two conference calls per year with the Investment Consultant. These normally will take place in May and November, timed to precede meetings of the APSA's Executive Committee.

The Investment Committee and the APSA staff are responsible for providing the Investment Consultant with all relevant information on the respective Portfolio's investment objectives, expected cash flow/liquidity needs, time horizon and risk tolerance. The Investment Committee shall promptly notify the Investment Consultant of any changes to this information.

The Investment Committee may delegate related operational authorities to members of the APSA staff. The Investment Committee will report on the results of the APSA investment portfolio and the performance of the investment managers on a semiannual basis and will recommend changes to the Investment Policies and Practices and in the selection of investment managers as necessary.

The Investment Committee will review the Investment Consultant's performance via a third-party assessment at least once every five years.

## VI. COMPOSITION OF THE INVESTMENT COMMITTEE

The APSA Treasurer serves on the Investment Committee. In addition, three other APSA members serve on the Committee for three-year terms. The APSA President appoints Investment Committee members with the approval of the APSA Council.

## VII. ROLE OF THE INVESTMENT CONSULTANT

The Investment Consultant is responsible for the following:

- Preparing quarterly and ad hoc performance measurement reports which include but are not limited to the following analysis:
  - Respective Portfolio's current asset allocation structure versus Policy guidelines.
  - Total Portfolio and Investment Manager performance results vs. appropriate custom index and manager specific benchmarks.

**Investment Policies and Practices**

- Monitor and report on each Portfolio’s Policy compliance.
- Assist Investment Committee and Staff with maintaining compliance with APSA’s Investment Policies and Practices on an as needed basis.
- Assist Investment Committee and Staff with day to day administration of each Portfolio.
- Assist the Investment Committee with setting and maintaining an appropriate asset allocation structure consistent with the respective Portfolio’s investment objectives, expected cash flow/liquidity needs, time horizon and risk tolerance.
- Assisting the Investment Committee with the selection of Investment Managers who manage the mutual and commingled funds that comprise APSA strategic allocation framework.
- Educating the Investment Committee on asset classes, investment strategies and investment topics.
- Meeting with the Investment Committee and APSA Staff to review and explain the performance of APSA’s investments.

**VIII. APSA INVESTMENT PORTFOLIOS AND FUNDS**

APSA maintains **funds** for many different purposes, such as to underwrite APSA awards, to support named programs, to produce operating income, and to assure sufficient reserves to cover emergencies and take advantage of new opportunities.

- The overall mission of the Investment Committee is to establish, with the advice and approval of the APSA Council, the return, risk tolerance, and other long-term objectives, in order to protect and grow the APSA’s endowments. The Committee invests for the long-term (i.e. does not try to time the market), with an emphasis on long-term capital growth. The Committee invests to earn a total return from the combination of dividends, interest and capital appreciation.
- The Committee invests all available resources in the Trust and Development Portfolio and the Congressional Fellowship Portfolio in a diversified, equity-oriented portfolio, which may also include limited holdings of fixed income securities.

These funds are grouped into several investment **portfolios**, each of which is guided by specific goals and allocation strategies. Allocation strategies are reviewed by the Investment Committee. The following chart lists each portfolio and the funds within it.

1. APSA Trust Portfolio
• Trust & Development Fund
• APSA Organized Section Award Funds
• 2nd Century Fund
• Centennial Center Awards Funds
2. CFP Trust Portfolio
• Congressional Fellowship Program Fund
3. Working Capital Portfolio
• Working Capital Fund

**Investment Policies and Practices**

- 1. APSA Trust Portfolio:** The APSA Trust Portfolio holds funds that the APSA wishes to grow over the long term, consistent with appropriate reasonable risk. Overseen by the Investment Committee, it comprises four separate funds (below).

<i>Purpose</i>	<i>Management</i>
<b>Trust &amp; Development Fund (T&amp;D)</b>	
The T&D fund constitutes the APSA's basic reserves to support the growth, innovation, and long-term viability of the APSA.	The T&D fund is established by the APSA Constitution. The Council has authorized a 4.5% draw as needed annually for program operations.
<b>APSA Organized Section Award Funds</b>	
Specific section awards for distinguished publications or career achievement.	APSA manages these funds but the award decisions are made by the sections and their award committees.
<b>2<sup>nd</sup> Century and Related Funds</b>	
The 2 <sup>nd</sup> Century Fund was established to underwrite use of space in the APSA building to create a center for scholars, a library, and other activities. Related individual funds help to cover costs of specific components of the Center and its programs.	The 2 <sup>nd</sup> Century Fund and related funds are overseen by the Centennial Center Board. The Council has authorized a 4.5% draw as needed annually to cover operating costs.
<b>Centennial Center Award Funds</b>	
A number of specific award funds have also been established in the context of the Centennial Center, to support scholars visiting the center or to support other scholarship.	Centennial Center advisory committee and staff manage these funds.

- 2. CFP Trust Portfolio.** The CFP Trust Portfolio holds funds intended for the long-term support and growth of the Congressional Fellowship Program. These are funds the APSA wishes to grow over the long-term consistent with appropriate reasonable risk. The portfolio is advised on by the Investment Committee, under guidelines established in an agreement between APSA and MCI Corporation.

<i>Purpose</i>	<i>Management</i>
<b>Congressional Fellowship Program Fund (CFP)</b>	
The CFP fund underwrites operations of the CFP program. The CFP fund has benefited from a major gift from the MCI Corporation.	Use of the CFP fund is in part controlled by an agreement between APSA and MCI. The endowment stipulates that no more than 5.5% of the fund's market value at the preceding December 31 may be drawn down to support the program.

- 3. Working Capital Portfolio.** The Working Capital Portfolio holds APSA's unrestricted operating reserves. The goal of this portfolio is to preserve capital consistent with reasonable and reliable income. Overseen by the Investment Committee, it includes a single fund (below).

<i>Purpose</i>	<i>Management</i>
<b>Working Capital Fund</b>	
Working Capital Funds are APSA's	APSA's working capital is managed by the

**Investment Policies and Practices**

unrestricted operating reserves to be used for emergencies and special purposes.	APSA staff including the Director of Finance and Administration and the Executive Director, subject to the oversight and approval of the APSA Council.
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**IX. TOTAL PORTFOLIO PERFORMANCE**

The primary objective is to provide a high total return over the long term, subject to the risk and liquidity requirements defined below. To achieve this objective, the portfolio should:

- Earn over a long term a return equal to or in excess of the increase in the Consumer Price Index plus the Council-approved draw on an annualized basis;
- Utilize a Composite Index comprised of appropriate market indices weighted to reflect the target asset allocation;
- Be competitive with appropriate peer group performance composites.

**X. VOLATILITY**

Volatility shall be evaluated in terms of the total portfolio, not each individual investment. The portfolio should be well diversified to avoid undue exposure to any single economic sector, industry group, or individual security.

**XI. LIQUIDITY AND REBALANCING**

Periodically, the Portfolios' staff will estimate the amount of cash needed to support the purposes of the Portfolios/Funds. The Investment Consultant will recommend to the Portfolio's Staff the means by which liquidity should be raised in order to improve compliance with the respective Portfolio's strategic asset allocation targets as detailed in this Policy. The Portfolios' Staff, with the assistance of the Investment Consultant, will then make the liquidations/transfers as recommended by the Investment Consultant.

In the event that a Portfolio needs to be rebalanced to improve compliance with the respective Portfolio's strategic asset allocation targets as detailed in this Policy, the Investment Consultant will recommend to the Investment Committee the means by which rebalancing should be implemented in order to improve compliance with the respective Portfolio's strategic asset allocation targets as detailed in this Policy. The Portfolios' Staff, with the assistance of the Investment Consultant, will implement the rebalancing recommendation after Investment Committee approval.

**XII. ASSET ALLOCATION STRUCTURE**

The following asset classes are acceptable for inclusion in the respective portfolios. Exposure to each asset class, measured by market value, is to be within the minimum and maximum limits defined below. The target allocation is that which will comprise the Composite Index used for the purpose of performance measurement. The Investment Consultant shall propose mutual funds deemed appropriate to the matrix below and shall advise on the maximum and minimum exposure for each asset class. For each mutual fund proposed, the Investment Consultant will

**Investment Policies and Practices**

also recommend an appropriate market index to which the mutual fund's performance shall be compared.

It is understood that market movements could cause the portfolio's asset mix to fall outside of these ranges. However, any divergence should be of a short-term nature. Persisting divergence should be corrected by periodic rebalancing of the portfolio. Guidelines should be reviewed by the Investment Committee at least annually.

The respective asset allocation structure will seek to control risk (i.e., the volatility of returns from year to year) through portfolio diversification and will consider, among other factors, the respective Portfolio's investment objectives, expected cash flow/liquidity needs, time horizon and risk tolerance.

**The target asset allocation for the Trust and Development Portfolio and Congressional Fellowship Program Portfolio's will be as follows.**

	Allocation Target	Allocation Range
U.S. Equities	65%	60 – 70%
Non U.S. Equities – Developed	10%	7 – 13%
Non U.S. Equities – Emerging	10%	7 – 13%
<b>Total Equities</b>	<b>85%</b>	<b>80 – 90%</b>
U.S. Fixed Income	15.0%	12 – 18%
<b>Total Assets</b>	<b>100.0%</b>	

**The target asset allocation for the Working Capital Portfolio will be as follows.**

	Allocation Target	Allocation Range
<b>US Fixed Income</b>	<b>93%</b>	<b>88 – 98%</b>
<b>Global Balanced</b>	<b>5%</b>	<b>3 – 7%</b>
<b>Cash</b>	<b>2%</b>	<b>0 – 4%</b>
<b>Total Assets</b>	<b>100.0%</b>	

# POLICIES MANUAL

Cover sheet

## Conflict of Interest Policy

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NAME OF POLICY

Approved by Council (date): 2014

Effective date: 2014

Replaces policy adopted (date): 2007  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): 2018  Not applicable

Distributed to (list): APSA Council

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Conflict of Interest Policy

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### Section 1. Policy

Officers, Council members, and committee members of the American Political Science Association (“APSA” or “association”) should act at all times in the best interests of APSA, and no individual associated with the association should use his /her position for personal benefit, for the benefit of friends or relatives, or to further any outside interests or personal agenda. This standard applies to all transactions and decisions, whether or not covered by the detailed policies and procedures below.

### Section 2. Definitions

(A) An interested person may be a director, officer, or member of a committee of the association.

(B) A potential or apparent conflict of interest exists whenever the personal, professional or financial interest of an interested person is opposed to that of the association, or when such an interest or any conflicting fiduciary duty might influence the interested person's actions and judgment on behalf of the APSA. A potential conflict also exists when there is an appearance that an interested person's actions may be influenced by a competing interest or duty. Conflicts (or the appearance of conflicts) may also arise when the Corporation is contemplating a transaction with a close relative or domestic partner of an interested person, or any entity in which such a related person has an ownership interest or which employs such a person.

(C) A conflict of interest exists whenever an interested person's competing interest or fiduciary duty is substantial enough that the interested person cannot reasonably be expected to exercise independent judgment and take action in the best interest of APSA.

Conflicts of interest may arise out of the relationship of officers, Council members, and committee members, with any of the following third parties:

- Persons and firms supplying goods and services to APSA
- Persons and firms with whom APSA is dealing or planning to deal in connection with the gift, purchase or sale of real estate, securities, or other property
- Competing or affinity organizations

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Conflict of Interest Policy

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- Donors and others supporting APSA
- Recipients of grants from APSA
- Agencies, organizations, and associations that affect the operations of APSA
- Family members, domestic partners, friends, and other employees

A conflicting interest might arise, for example, through

- Owning stock or holding debt or other proprietary interests in any third party dealing commercially with APSA,
- Holding office, serving on the board, participating in management, or being otherwise employed (or formerly employed) by any third party dealing commercially with the APSA,
- Receiving remuneration for services with respect to individual transactions involving the APSA,
- Using the APSA's time, personnel, equipment, supplies, or good will other than for APSA activities, programs, and purposes, or
- Receiving personal gifts or loans from third parties dealing with APSA. Receipt of any gift is disapproved except gifts of nominal value that could not be refused without discourtesy. No personal gift of money in connection with service to APSA should ever be accepted.

Conflicts of interest will generally not be considered to arise when the potential benefit to the interested person is tenuous or remote, such as an interested person with investments in a mutual fund which holds a small amount of stock in a particular company.

### Section 3. Procedure: Officers

If an officer becomes aware of a potential conflict of interest relating to her/his duties as an officer, s/he should disclose it to the Council or, if timing requires, to the Administrative Committee. The officer shall disclose all relevant facts but not participate in further discussion or decision-making regarding the conflict. The body to which disclosure is made shall determine whether the officer should be recused from participation in certain decisions, whether any responsibilities of that officer should be transferred to another person, and whether any other steps are necessary to address the conflict. Any decision made by the Administrative Committee shall be reported to the Council and may be reviewed and revised at the next Council meeting.

### Section 4. Procedure: Council and Committees

Whenever an interested person becomes aware of a potential conflict of interest, whether financial or otherwise, s/he shall make the situation known to the Council or committee (as the case might be) and provide all facts material to understanding the nature and scope of the conflict, including whether the interested person believes his or her ability to make an independent decision based solely on the best interest of the association has been compromised. If the interested person involved does not make this disclosure, another Council or committee member with knowledge of the potential conflict should draw it to the body's attention.

The interested person with the potential conflict must retire from the meeting and not participate in final discussion and voting on the existence of the conflict. If a conflict is found to exist, the interested

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Conflict of Interest Policy

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person may be invited to provide any relevant information that could be of use to the Council or committee in making its decision, but shall again retire and not participate in the final discussion and voting regarding the transaction. The Council or committee's decision shall be based on consideration of whether the transaction:

- a. is in the organization's best interest and for its own benefit;
- b. is fair and reasonable to the organization; and
- c. is the most advantageous transaction or arrangement the organization can obtain with reasonable efforts under the circumstances.

In addition, the body in question may take additional steps reasonably determined necessary to address conflicts or potential conflicts that come to its attention. These may include shifting responsibility for certain decision-making from a conflicted person to another person or body.

### Section 5. Recordkeeping

The Secretary or his or her designee shall keep or cause to be kept adequate minutes of all Council and Administrative Committee meetings with regard to potential conflict of interest that shall, at a minimum, contain (i) the names of the persons who disclosed or otherwise were found to have an interest in connection with an actual or possible conflict of interest, the nature of the interest, any action taken to determine whether a conflict of interest was present, and the Council's or committee's decision as to whether a conflict of interest in fact existed; (iii) the names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings. Committees other than the Administrative Committee shall keep similar records and report to the Council any potential conflicts of interest that were considered and how each was resolved.

### Section 6. Annual Distribution, Acknowledgment and Disclosure

This conflict of interest policy shall be distributed annually to all directors, officers, and members of APSA committees. All covered individuals shall sign an annual acknowledgment that they have received a copy of this policy, understand it, and agree to abide by its terms. Officers and other Council members shall complete an annual disclosure form identifying all known actual or potential sources of conflicts of interest.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Conflict of Interest Policy

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### Acknowledgment and Disclosure Form

I have read the APSA Conflict of Interest Policy and agree to comply fully with its terms and conditions at all times during my service as an APSA officer or employee. If at any time following the submission of this form I become aware of any actual or potential conflicts of interest, or if the information provided below becomes inaccurate or incomplete, I will promptly notify the APSA president (if I am an officer) and the executive director (if I am an employee) in writing.

Disclosure of Actual or Potential Conflicts of Interest; Or Family and Business Relationship	
Signature:	
Printed Name:	
Date:	

# POLICIES MANUAL

Cover sheet

## Whistleblower Policy

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NAME OF POLICY

Approved by Council (date): September 14, 2022

Effective date: September 14, 2022

Replaces policy adopted (date): 2018  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): October 4, 2022  Not applicable

Distributed to (list): APSA Council

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 10/4/2022

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## General

The protection of APSA’s members, employees, volunteers, reputation, assets, and ability to achieve its mission is, and must be, a core responsibility of everyone connected with the Association. This document describes how the American Political Science Association will respond if anyone observes and reports serious and intentional misconduct in the conduct of the Association’s affairs; examples of such misconduct include financial fraud, illegal activity, harassment, discrimination, and abusive behavior. This policy is intended to assure that every such report is taken seriously, that a person making such a report is protected against retaliation as fully as possible, and that reports are used not only to address the fact or appearance of misconduct but also to improve the Association’s ability to prevent any recurrence.

## Reportable Misconduct

It is the responsibility of all APSA Council members, APSA Council officers, and employees who witness apparent misconduct to report the events and circumstances (i.e., to act as a “whistleblower”) by following the procedures described in this policy. Reportable conduct includes a violation of APSA policies, government regulations, or the law and any act, or failure to act, which results in obtaining an unauthorized benefit from or inflicting harm on the Association generally or on anyone employed by or volunteering in an administrative capacity for APSA (including serving on a committee created by the APSA Council).

Examples of such conduct include:

- Plagiarism, forgery, or damaging alteration of any document necessary for administration of the work of APSA
- Unauthorized alteration of computer files or other records of the Association
- Creating or publishing misleading financial reports of the Association’s accounts

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Whistleblower Policy

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- Harassment of or injury to an employee, vendor, agent, or other person or persons in connection with their activities on behalf of the Association
- Discrimination against individuals in federally protected classes or categories in connection with their activities on behalf of the Association
- Pursuit of a benefit or advantage in violation of APSA's Conflict of Interest Policy
- Misappropriation or misuse of APSA resources, funds, supplies, or other assets
- Authorizing or receiving compensation from APSA for goods not received or services not performed
- Authorizing or receiving compensation for hours not worked or reimbursement for expenses not incurred while performing any duty for the Association
- Retaliating in any way against a person who makes a good-faith report of apparent misconduct as required by this policy

This policy is not designed, and will not be applied, to address apparent professional misconduct of a member of APSA unless the conduct is directly related to the administration of the affairs of the Association itself. This policy is also not designed, and will not be used, to address mistakes and inadvertent errors in the everyday affairs of the Association which can be remedied within the scope of standard administrative procedures.

### Role of the Audit Committee

The APSA Bylaws provide that the Audit Committee establishes and oversees this Whistleblower Policy. The committee adopted this version of the policy on September 7, 2022 and recommended to the Council that it be included in the Board Policies Manual of the Association.

With the advice of the Audit Committee, the Executive Director contracts with a Reporting Service (currently APSA EthicsPoint) to serve as the principal point of contact for persons observing apparent misconduct. The Audit Committee receives reports on the operation of this policy at least annually and regularly considers whether changes to this policy are desirable or necessary.

### Contact for Reporting

The Association contracts with an outside organization which offers the service of receiving confidential communications about reportable misconduct. The Reporting Service, known as [APSA EthicsPoint](#), provides both a confidential toll-free telephone number and a confidential online questionnaire that can be used to document the reportable behavior; either or both may be used by anyone wishing to make a report.

The contact information for the current Reporting Service, [APSA EthicsPoint](#), is published on the Association's public website on an easily accessible page labeled "Whistleblowing" (<http://www.apsanet.org/whistleblowing>). The page includes a description of the procedure for confidential reporting to APSA EthicsPoint (the Reporting Service). The title and online address of this website page are included wherever appropriate in routine business correspondence and other APSA documents in order to make information about APSA's Whistleblowing Policy and related procedures widely available. Direct access to the APSA EthicsPoint platform is available here: <http://www.apsanet.ethicspoint.com/>

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## Whistleblower Policy

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The Executive Director appoints two members of APSA's senior staff as Staff Contacts who will have access to APSA EthicsPoint (the Reporting Service) following any report to the Reporting Service by a person associated with APSA, so that the appropriate course of action can be determined. APSA EthicsPoint (The Reporting Service) and the Staff Contacts will at all times endeavor to maintain confidentiality in the event of a report of conduct covered by this policy.

### Reporting

Anyone who observes or experiences apparent misconduct is encouraged to report the conduct by following the procedure described on the Whistleblowing web page (<http://www.apsanet.org/whistleblowing>).

When a report is submitted to APSA EthicsPoint, (the Reporting Service), APSA EthicsPoint will send an automatic confirmation email to the reporter if the reporter supplied their email address with their report. APSA EthicsPoint provides reporters with a unique report key and the option to create a password. Reporters can use this information to log into the APSA EthicsPoint platform to view their submitted report and to communicate with APSA. All of the information, reported facts, and circumstances provided by the reporter will be documented in a report that will be housed on the APSA EthicsPoint platform. APSA will seek to avoid, to the maximum extent possible, any adverse consequence to the reporting individual for any report made in good faith. Based on the information received, APSA EthicsPoint (the Reporting Service) will determine which Staff Contact should be informed of the matter. (If for any reason it is not appropriate to contact either of the designated Staff Contacts, the Reporting Service may contact the Chair of the Executive Committee (the APSA President) to determine the appropriate course of action.)

### Follow-up

The Staff Contact or other authorized person (the "Investigator") receiving a report from APSA EthicsPoint (the Reporting Service) is responsible for determining whether there is cause to believe that a violation of APSA policies, government regulations, or the law has occurred. (Note: Every effort will be made to preserve confidentiality of the person who made the report during this process but, in certain circumstances, it may not be possible to do so. Additionally, as explained below, any retaliation against a person who has made a good-faith report to APSA EthicsPoint (the Reporting Service) is, itself, a violation of this policy.) This determination is based on the information provided to APSA EthicsPoint (the Reporting Service) and any other verifiable relevant information obtained by the Investigator. The Investigator (calling upon advice, if necessary, from suitable other persons or relevant committee members) develops a plan of action that responds to the circumstances. The plan may include reviewing records, collecting additional data, conducting confidential interviews with APSA staff, contactors, vendors, and members of the public, and any other forms of investigation that are necessary. The Investigator may consult with APSA leadership or the APSA attorney to determine what, if any, action is required to address the cause of the report.

The Investigator documents the facts and circumstances. If appropriate and possible, the Investigator will discuss the risk of exposure with the reporting individual and, as appropriate, will design subsequent action to avoid, to the maximum extent possible, any adverse consequence. If the investigation requires more than four calendar weeks to complete, the Investigator will contact the Chair of the Audit Committee to explain the reason for the time required and request approval for additional time.

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Based on the information gathered, the Investigator will recommend a course of action to the appropriate APSA official. In most cases, this official will be the Executive Director. If, though, for any reason, the Investigator believes it would be inadvisable to involve the Executive Director, the recommendation may be made to the APSA President or the Chair of the Audit Committee. Upon receiving the recommendation from the Investigator, the appropriate APSA official with review and make a final determination regarding the recommendation.

The recommended course of action may include, but is not limited to, the following: follow-up under the appropriate APSA policies and procedures (for example, the APSA employee handbook or the Procedures for Violations of the Sexual Harassment Provisions of the APSA Anti-Harassment Policy, or other appropriate APSA policy) or dismissal of the report as unfounded. The recommendation may also include proposed personnel actions, disciplinary actions, referral to the APSA attorney, or involvement of law enforcement.

Once a recommended course of action is identified, the APSA Executive Director or the APSA Staff Contacts will communicate it to the reporter and the individual(s) named as the subject of the report. The APSA Executive Director and/or the Staff Contacts will also take the necessary steps to implement the course of action. Implementation may involve applying actions or procedures recommended by an appropriate APSA policy or procedure, as listed above.

The Staff Contact (the Investigator) will include a summary of this report and the course of action in their annual report to the Audit Committee.

### Retaliation Prohibited

A person who in good faith reports possible misconduct must not suffer from any form of retaliation including, but not limited to, harassment or adverse employment consequence. Any person who retaliates against someone who has, or is suspected to have, reported apparent misconduct is in violation of this APSA policy. Such incidents, if they occur, will in the normal course of events be investigated as apparent violations of this policy and may result in disciplinary action up to and including termination of employment or severing of an existing relationship to APSA.

### Acting in Good Faith

Anyone reporting apparent reportable conduct must be acting in good faith and have reasonable grounds for believing the conduct indicates that there has been a violation of APSA policies, any of the items in the bulleted list of reportable conduct above, government regulations, or the law.

A report that proves not to be substantiated will, in the normal course of events, have no consequences for the person who has made it and will be included in the Staff Contact's annual report to the Audit Committee without identifying reference to the individuals involved or any information that could result in the reporter or individuals being identified. Repeated unsubstantiated reports may in certain circumstances constitute a form of harassment and, hence, constitute a violation of this policy.

### Bad-faith Reports

If the result of the confidential investigation of a report of possible misconduct is a determination that the report was made in bad-faith or is a result of malice or hostility on the part of the person making the

# AMERICAN POLITICAL SCIENCE ASSOCIATION

report, the Investigator may consult with the Executive Director, the Chair of the Audit Committee, or the APSA president (as appropriate) to determine a course of action to address this violation of the Whistleblower Policy. The recommendation may include, but is not limited to, termination of employment or severing of an existing relationship to APSA.

## Annual Assessment

The Audit Committee receives reports from the Staff Contacts and other Investigators (if any) at least once each year. These reports are made and received with due regard for necessary confidentiality with respect to the details of any reported misconduct and any resulting action. If an event involving misconduct or apparent misconduct has been addressed without involving a Staff Contact, the Investigator responsible must report (again with due regard for confidentiality) the circumstances and resolution to the Audit Committee. In extraordinary and compelling circumstances, an Investigator may make such a report directly to the Chair of the Audit Committee.

The Audit Committee will consider during at least one meeting each year whether such reports or other related information suggest any desirable or necessary changes in the Association's Whistleblower Policy. In addition, the Executive Director may consult with the Audit Committee at any time to identify necessary or desirable changes in APSA policies, administrative procedures, or management controls that may have been suggested by or arise out of any reports of misconduct received.

During its annual review, the Audit Committee may also consider the performance of APSA EthicsPoint, (the Reporting Service) and, in conformity with the terms of the contract, recommend to the Council or the Executive Director any revision or change that seems appropriate, as it pertains to the Whistleblower Policy.



# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Document Retention Policy

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The Sarbanes-Oxley Act addresses the destruction of business records and documents and turns intentional document destruction into a process that must be carefully monitored. Based on recommendations made by the National Council of Nonprofit Association, APSA observes the following records retention and destruction policy:

Type of Document	Minimum Requirement
Accounts payable ledgers and schedules	7 years
Audit reports	Permanently
Bank Reconciliations	2 years
Bank statements	3 years
Checks (for important payments and purchases)	Permanently
Contracts, mortgages, notes and leases (expired)	7 years
Contracts (still in effect)	Permanently
Correspondence (general)	2 years
Correspondence (legal and important matters)	Permanently
Correspondence (with customers and vendors)	2 years
Deeds, mortgages, and bills of sale	Permanently
Depreciation Schedules	Permanently
Duplicate deposit slips	2 years
Employment applications	3 years
Expense Analyses/expense distribution schedules	7 years
Year End Financial Statements	Permanently
Insurance Policies (expired)	3 years
Insurance records, current accident reports, claims, policies, etc.	Permanently
Internal audit reports	3 years
Inventories of products, materials, and supplies	7 years
Invoices (to customers, from vendors)	7 years
Minute books, bylaws and charter	Permanently
Patents and related Papers	Permanently
Payroll records and summaries	7 years
Personnel files (terminated employees)	7 years
Retirement and pension records	Permanently
Tax returns and worksheets	Permanently
Timesheets	7 years
Trademark registrations and copyrights	Permanently
Withholding tax statements	7 years

\*\*The **Sarbanes-Oxley Act** of 2002 (**SOX**) is an **act** passed by U.S. Congress in 2002 to protect investors from the possibility of fraudulent accounting activities by corporations. The **SOX Act** mandated strict reforms to improve financial disclosures from corporations and prevent accounting fraud.

# POLICIES MANUAL

Cover sheet

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## APSA Travel Policy for Committee and Council Meetings

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NAME OF POLICY

Approved by Council (date): 2012

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Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): \_\_\_\_\_  Not applicable

Distributed to (list): APSA Council

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\_\_\_\_\_  
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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

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The following are APSA’s travel and reimbursement policies. APSA’s policies vary by event location. Please use this as a guide to the expenses that are reimbursed by APSA. If you have any questions or special needs, please do not hesitate to call us at (202) 483-2512. Thank you for following these guidelines and for your service to the political science profession.

### **A. Travel and Reimbursement Authorization**

1. All travelers must be given expressed preapproval by APSA to travel for APSA business.
2. If a traveler is not preapproved to travel for APSA business, they may not be reimbursed for their travel expenses without approval by the Executive Director.

### **B. Policy Per Meeting Location**

1. STAND-ALONE MEETINGS HELD AT APSA HEADQUARTERS IN WASHINGTON, D.C., OR ANOTHER LOCATION.
  - a) APSA will cover travel and direct reimbursable expenses as outlined in this policy to attend committee or council meetings held at APSA’s headquarters in Washington, D.C. or another location not in conjunction with an annual meeting.
2. MEETINGS HELD AT OTHER ASSOCIATIONS’ CONFERENCES
  - a) When an APSA meeting is held at another conference, and the traveler is attending the conference, APSA asks that the traveler first seek support from their home institution to cover this travel, as would be customary for attending the conference if the APSA meeting were not scheduled there. If such support is not available, or if the traveler is not attending the annual conference, APSA will cover travel, one night’s lodging, if needed, and incidental reimbursable expenses directly relating to the APSA meeting.
  - b) APSA recognizes there is often a gray area between whether the attendee is traveling primarily for the APSA meeting or primarily to attend the other conference. Key indicators are whether the attendee is presenting at the conference or is registered for the conference and staying throughout.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Travel Policy for Committee and Council Meetings

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### 3. MEETINGS HELD IN CONJUNCTION WITH APSA'S ANNUAL CONFERENCE

- a) APSA does not normally reimburse travel to committee meetings held at the APSA Annual Conference. If the committee or council meeting occurs before the start of the Annual Conference, APSA may provide one to two nights lodging if needed.

## C. Reimbursable Expenses (for B.1 and B.2 meetings)

### 1. AIRLINE OR TRAIN TICKETS

- a) APSA will reimburse the lowest priced tourist, coach, or economy class airfare (where available) or train fare and related costs for approved travel for APSA business and are purchased in a timely manner:

- (1) APSA will reimburse airline and train tickets for reservations that have been made at least three weeks prior to the date of departure.

- (2) APSA reserves the right to reimburse for airline or train tickets for no more than the amount which would have been incurred had the reservation been made at least three weeks prior to the date of departure. The traveler is exempt from this provision if the travel was approved less than three weeks prior to the date of departure.

- b) Upgrades, including but not limited to economy plus or full fare coach, at the expense of APSA are not permitted. Upgrades are allowed at the traveler's personal expense or if it is no extra cost to APSA.

- c) The traveler must notify the Executive Director before purchasing airfare that exceeds \$1,000. If the traveler does not notify the Executive Director, APSA reserves the right to refuse or limit the reimbursement amount of the airfare or train fare.

- d) Traveling individuals may retain frequent flyer or rider program benefits. However, participation in these programs must not influence flight or train selection, which would result in incremental cost to APSA beyond the lowest available airfare or train fare. Any membership fees associated with joining these programs are not reimbursable.

### 2. BAGGAGE AND OTHER INCIDENTAL FEES

- a) Travelers will be reimbursed for one checked item.
- b) Travelers will be reimbursed for excess baggage charges only if the excess baggage is necessary for business of APSA.
- c) The organization will not reimburse travelers for personal items lost or damaged while traveling on business. APSA will not reimburse luggage insurance, and the purchase of such insurance is the responsibility of the traveler.
- d) APSA will not reimburse the purchase or use of wired or wireless (Wi-Fi and cellular) Internet, payphones, or Internet or computer kiosks to include but not limited to airports, airplanes, trains, and train stations.
- e) APSA will not reimburse travel insurance, and the purchase of such insurance is the responsibility of the traveler.

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## Travel Policy for Committee and Council Meetings

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### 3. TRAVEL DELAYS AND CANCELLATIONS

- a) Should an airline delay necessitate an overnight stay, the traveler must first attempt to secure complimentary or discounted lodging from the airline. If unsuccessful, APSA will reimburse the traveler for lodging. The traveler should seek lodging accommodations that follow the guidelines set in section C, subsection 4.
- b) When a trip is cancelled after the ticket has been issued, the traveler should inquire about receiving a refund or using the same ticket for future travel.
- c) Travelers can reuse tickets for APSA business if airfare eligibility requirements are met.
- d) It is the responsibility of the traveler to contact the airline to cancel the reservation. Travelers will be held responsible and will not be reimbursed for unused or missed flights.

### 4. HOTEL ROOMS

- a) For committee meetings located in Washington, D.C., APSA will consult with participants directly concerning hotel reservations, and will make these reservations on behalf of the participants. Ordinarily, APSA covers one night's accommodations, but exceptions can be made if:
  - (1) The cost for staying over the additional night results in airfare savings that are greater than the cost of another night in the hotel and the cost of meals. [For example, if the meeting is on a Friday, the participants would have to be saving at least \$300 (two nights plus meals) on air travel to justify extra time spent in Washington. (Hotel rates are approximately \$130 per night.)] Let APSA know in advance if two nights' lodging is warranted.
  - (2) Two nights' lodging is required in order for the participant to attend the meeting, e.g., the meeting will take place over two days or travel distance necessitates an additional night's stay.
- b) APSA greatly appreciates participants arranging their schedule in an effort to minimize travel costs. Travel agent or agency fees are not reimbursable.
- c) For meetings outside of Washington, D.C. and the Annual Meeting (e.g. council meeting at MPSA), members should expect to pay for all their expenses at the time of check-out and submit a reimbursement to APSA should their home institution not cover the charges.
- d) For nights that are reimbursable, APSA will reimburse the purchase of wired or wireless Internet usage in the hotel room.
- e) Hotel amenities, which include but are not limited to dry cleaning, toiletries, pay-per-view movies, fitness center, and newspapers, are not reimbursable
- f) Housekeeping and bellman service tips are reimbursable when tips do not exceed \$3.00 daily for housekeeping for an individual sleeping room and \$5.00 daily for a suite, and \$1.00 per bag for bellman service.
- g) Travelers are responsible for cancelling hotel rooms and must contact the hotel if the booking was made directly with the hotel. Travelers will be held responsible and will not be reimbursed for "no-show" charges.

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h) Traveling individuals may retain frequent guest program benefits. However, participation in these programs must not influence hotel selection, which would result in incremental cost to APSA beyond the lowest available lodging rate. Any membership fees associated with joining these programs are not reimbursable.

### 5. TRANSPORTATION TO AIRPORT OR TRAIN STATIONS

a) APSA will reimburse the cost of transportation to and from an airport or train station. APSA will not reimburse the rental of a car for this purpose.

b) APSA will only reimburse long-term parking at an airport or train station. Short-term, daily garage or hourly parking at an airport or train station will not be reimbursed.

c) Alternative transportation (i.e., public transit or taxis) should be considered if it would be more economical.

d) Private limousines or car services may be reimbursed when preapproved by the Executive Director.

### 6. RENTAL CARS

a) Travelers may only rent a car to their destination if preapproval is obtained by the Executive Director, and driving is more cost-effective than airline or rail travel.

b) Reimbursements will not be made for rental cars that are not preapproved prior to travel.

c) All travelers who will be driving must sign as a driver on the car rental agreement.

d) Travelers may only book the rental car categories of either economy or compact.

e) Travelers will not be reimbursed for collision damage or loss damage insurance. The purchase of such insurance is the responsibility of the traveler. APSA will not reimburse the traveler, any person, or any company for any damage or injury caused during the use of a rental car.

f) APSA will reimburse the cost of the lowest octane rated fuel recommended by the rental car's manufacture. APSA will reimburse travelers for tolls and parking fees incurred while operating a rental car for business purposes.

g) APSA will only reimburse travelers the rental rate and associated taxes to the rental rate. The traveler will be responsible for any additional fees to include but is limited to the rental of a GPS unit or a child's car seat, damages (i.e., bumps, scratches, or mechanical failures), late arrival or return fees, or gas refill fees.

h) Preapproval must be received by the Executive Director if the vehicle will be returned to a different location than it was received. If no preapproval is given, the traveler will be responsible for any additional fees or costs.

i) Traveling individuals may retain frequent renter program benefits. However, participation in these programs must not influence rental selection, which would result in incremental cost to APSA beyond the lowest available rental rate. Any membership fees associated with joining these programs are not reimbursable.

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### 7. USE OF A PERSONAL VEHICLE

- a) Travelers may use their personal vehicle for business purposes only when preapproval is obtained from the Executive Director.
- b) It is the responsibility of the vehicle owner to carry adequate insurance coverage for their protection and for the protection of any passengers. APSA will not reimburse the traveler, any person, or any company for any damage or injury caused during the use of a personal vehicle.
- c) Travelers will be reimbursed for business usage of a personal vehicle at the current standard mileage reimbursement rate set by the IRS.
- d) Fuel charges and traffic fines are not reimbursable.
- e) APSA will reimburse travelers for tolls and parking fees incurred while using their personal vehicle for business purposes.

### 8. MEALS AND FOODSTUFFS

- a) Participants are asked to use their best judgment in charging meals to APSA.
- b) APSA will reimburse meals, snacks, foodstuffs while traveling on APSA business.
- c) APSA has set a \$70.00 daily reimbursement limit on meals, snacks, and foodstuffs. Any amount over \$70.00 will not be reimbursed by APSA.
- d) An itemized receipt must be submitted for reimbursement. Credit or charge card receipts or statements cannot be used for reimbursement.
- e) Tips included on meal receipts will be reimbursed. Tips should not be more than 20% of the total bill excluding local and state taxes. Any tips considered excessive will not be reimbursed.

### 9. COMBINING PERSONAL WITH BUSINESS TRAVEL

- a) Personal travel may be combined with business travel provided there are no additional costs to APSA and with the preapproval from the Executive Director.
- b) Any additional costs incurred from extended bookings for airfare or lodging are the responsibility of the traveler and will not be reimbursed by APSA.

### 10. MISCELLANEOUS EXPENSES

- a) APSA will not pay for vacation expenses to include but not limited to sightseeing, bus tours, souvenirs, movies, health club fees, and other personal expenses.
- b) Personal phone calls will not be reimbursed.
- c) Conference, meeting, and membership fees are not reimbursable.
- d) **IF AN EXPENDABLE ITEM IS NOT EXPLICITLY STATED IN THIS TRAVEL POLICY THAT IT IS REIMBURSABLE, IT IS CONSIDERED NOT REIMBURSABLE AND THE TRAVELER IS RESPONSIBLE FOR ITS PAYMENT.**

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## Travel Policy for Committee and Council Meetings

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### D. Requests For Reimbursements

1. To receive a reimbursement for travel expenses, participants must send itemized receipts along with the completed Travel Expenses Forms and IRS Form W-9 to the APSA offices (1527 New Hampshire Ave, NW Washington, DC 20036). Meeting participants are encouraged to refer to the Travel Expenses Worksheet to help calculate reimbursable expenses.

2. Please note that on the Travel Expenses Summary Form, participants have the option of contributing all or part of their reimbursements to an APSA fund. Please indicate the amount and the particular fund on the form. Your contribution will be recorded as a tax deductible gift in your name.

**3. REQUESTS FOR REIMBURSEMENTS, ASSOCIATED FORMS, AND RECIEPTS MUST BE RECEIVED BY APSA ON OR WITHIN 15 BUSINESS DAYS OF THE CONCLUSION OF THE BUSINESS TRAVEL. REQUESTS FOR REIMBURSEMENTS RECEIVED AFTER 15 BUSINESS DAYS WILL NOT BE ACCEPTED AND WILL NOT BE REIMBURSED.**

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Travel Policy for Committee and Council Meetings

<b>This is a summary of expendable items that are eligible or not eligible for reimbursement. Review the main travel policy document for details.</b>		
<b>Area</b>	<b>Eligible for Reimbursement</b>	<b>Not Eligible for Reimbursement</b>
<b>Airline or Train Fare</b>	<p>Economy (lowest priced) fare if purchased at least three (3) weeks in advance of departure date.</p> <p>Airfare that exceeds \$1,000 <b>with</b> notice sent to the Executive Director.</p>	<p>If purchased within three (3) weeks of departure date may not be reimbursed.</p> <p>Any seating or class upgrades.</p> <p>Airfare that exceeds \$1,000 <b>without</b> notice sent to the Executive Director.</p> <p>Travel insurance.</p>
<b>Baggage</b>	<p>One checked item.</p> <p>Excess baggage charges if for APSA business.</p>	<p>Loss or damaged items.</p> <p>Baggage Insurance.</p>
<b>Incidental Items</b>		<p>Wired or wireless (Wi-Fi or cellular) Internet or Internet or computer kiosks.</p> <p>Payphones.</p> <p>Vacation and personal expenses (i.e., sightseeing, bus tours, movies, health club fees).</p> <p>Conference, meeting, and membership fees.</p>
<b>Hotel</b>	<p>Depending on the meeting and travel schedule, one to two nights.</p> <p>Internet connection for reimbursable hotel stays.</p> <p>Tips for housekeeping of \$3 for individual rooms, \$5 for suites, and \$1 per bag for bellhops.</p>	<p>Hotel amenities, which include but are not limited to dry cleaning, toiletries, pay-per-view movies, fitness center, and newspapers.</p>
<b>Meals and Other Foodstuffs</b>	<p>No more than \$70 of meals, snacks, and other foodstuffs with an itemized receipt each day of travel.</p>	<p>Any amount over \$70 of meals, snacks, and other foodstuffs each day of travel.</p> <p>Tips over 20% of the bill excluding local and state taxes.</p>
<b>Loyalty Points and Frequent Flyer Miles</b>		<p>Fees for participation.</p> <p>(Membership should not influence your travel arrangements.)</p>
<b>Transportation to Airport or Train Station</b>	<p>Transportation to and from an airport or train station.</p> <p>Long-term parking at an airport or train station.</p> <p>Private limousines or car services if approved by the Executive Director.</p>	<p>Short-term parking at an airport or train station.</p> <p>A rental car for this purpose.</p>
<b>Use of a Personal Car</b>	<p>Reimbursement at the current standard mileage rate set by the IRS with approval by the Executive Director.</p> <p>Tolls and parking fees.</p>	<p>Gas charges and traffic fines.</p>
<b>If an expendable item is not explicated stated in this travel policy that it is reimbursable, it is considered not reimbursable, and the traveler is responsible for its payment.</b>		

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## Travel Policy for Committee and Council Meetings

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**E. APSA Travel Insurance for Council and Committee Meetings:** Knowing your safety and wellbeing are important, APSA is pleased to offer complimentary travel insurance for APSA council members and officers. Contact APSA for more information regarding the policy.

### 1. TRAVEL ACCIDENT POLICY AMERICAN POLITICAL SCIENCE ASSOCIATION HARTFORD LIFE POLICY # ETB138100

#### a) Who Is Covered?

- Officers
- Directors
- Committee Members
- Employees

#### b) Coverage

- \$2,500,000 Aggregate Amount – Any One Accident
- 24-Hour Business Travel
- Commutation Coverage – While traveling to and from work
- Hijacking – Business Trip
- Sojourn or Personal Deviation

#### c) Benefit Description

- Accidental Death & Dismemberment - \$500,000
- Rehabilitation Benefit – 10% of Principal Sum to a Maximum of \$25,000
- Seat Belt & Airbag Benefit – 10% of Principal Sum to a Maximum of \$25,000
- Coma – Accidental Death & Dismemberment benefit of \$500,000
- Therapeutic Counseling Benefit – 10% of Principal Sum to a Maximum of \$25,000
- Adaptive Home & Vehicle Benefit – 10% of Principal Sum to a Maximum of \$25,000
- Bereavement Counseling Benefit – \$500 maximum per covered person per accident



# Travel Expenses Summary Form

Name of Traveler: \_\_\_\_\_  
 Name of Event: \_\_\_\_\_  
 Date of Event: \_\_\_\_\_

**STEP 1:** Please complete the travel expenses worksheet and enter the amount of total reimbursable expenses here:

**STEP 2:** If you would like to contribute all or some of these reimbursable expenses to an APSA fund, please indicate the amount here:

And select the specific APSA fund below. Your contribution will be recorded as a tax deductible gift in your name.

- 2nd Century Fund** (for the maintenance and support of the Centennial Center)
- Annual Fund** (for APSA initiatives, such as travel and small research grants)
- Minority Student Recruitment Project** (for the direct support of the MSRP program)
- Congressional Fellowship Program** (for the direct support of the CFP program)
- Trust and Development Fund** (for general s and award funds)
- Other** \_\_\_\_\_ (see attached list of all APSA funds)

**STEP 3:** Indicate net amount to be reimbursed to you  
 (NOTE: REIMBURSEMENTS AND CONTRIBUTIONS CANNOT BE PROCESSED WITHOUT RECEIPTS AND A SIGNED W-8 OR W-9):

**STEP 4:** Complete and sign a W-8 form (for non-US citizens) or a W-9 (for US citizens).

**STEP 5:** Specify where and to whom we should send the check.

Make check payable to \_\_\_\_\_

Mailing address \_\_\_\_\_

**Return the travel expenses summary form and worksheet, receipts, and W-8 or W-9 to**

American Political Science Association  
 Attn: Travel Reimbursement  
 1527 New Hampshire Ave NW  
 Washington DC 20036  
 Tel: 202-483-2512 Fax: 202-483-2657

Office Use Only	
Charge:	Date Received:
Authorized Signature:	Date Approved:
Other Instructions:	



## Travel Expenses Worksheet

(For reimbursable expenses only; see APSA travel policy)

Name of Traveler: \_\_\_\_\_

Name of Event: \_\_\_\_\_

Date of Event: \_\_\_\_\_

**Reimbursable Expenses Table**

Date	Air or Train Fare or Mileage	Cabs or Airport Shuttle	Foodstuff	Hotel	Total Each Day
<b>Total Each Category</b>					
				<b>Total Reimbursable Expenses*</b>	

\*Insert the **total reimbursable expenses** figure into the **Travel Expenses Summary Form**.

Return **both forms, receipts, and a W-8 or W-9 form** to  
 American Political Science Association  
 Attn: Travel Reimbursement  
 1527 New Hampshire Ave  
 Washington, DC 20036  
 Tel: 202-483-2512  
 Fax: 202-483-2657

### Program Funds:

- **Ed Artinian Fund** (assists young scholars in publishing their research)
- **Marguerite Ross Barnett Fund** (to support research on diversity, cultural nationalism, African-American voting, education, and urban and minority policy and politics)
- **Walter E. Beach Fund** (assist with travel and expenses to the annual meeting)
- **James Bryce Fund** (support international political science discipline)
- **Jewel Prestage and Richard Fenno Fund** (supports minority students' advanced training in political science)
- **E. Pendleton Herring Fund** (maintain and expand the association's collection of politically themed art)
- **Chun-tu Hsueh Fund** (supports international scholars)
- **Rita Mae Kelly Fund** (supports research on gender, race, ethnicity and political power)
- **Latino Scholarship Fund** (promotes recruitment, retention and promotion of Latino and Latina political scientists)
- **Seymour Martin Lipset Library Fund** (supports the naming of the Centennial Center Library as a permanent tribute to Marty Lipset)
- **Warren E. Miller Fund** (support scholars for up to three months at the Centennial Center)
- **Alma Ostrom and Leah Hopkins Awan Fund** (supports civic education and engagement)
- **Presidency Research Fund** (supports research on the American Presidency)
- **William A. Steiger Fund** (supports fellowships for legislative studies)
- **Paul A. Volcker Fund** (supports research on public administration issues)
- **Women and Politics Fund** (supports the study of women and politics)

### Award Funds:

- **APSA Distinguished Teaching Award** (honors outstanding contributions to the teaching of political science)
- **John Gaus Lectureship** (recognize achievement and encourage scholarship in public administration)
- **E. E. Schattschneider Award** (best doctoral dissertation in American government)
- **Leo Strauss Dissertation Award** (best doctoral dissertation in political philosophy)
- **William Anderson Award** (best doctoral dissertation in state or local politics, federalism or intergovernmental relations)
- **Gabriel Almond Award** (best comparative politics doctoral dissertation)
- **Lasswell Symposium Award** (best doctoral dissertation in policy studies)
- **Carey McWilliams Award** (to honor major journalistic contribution to our understanding of politics)
- **Edward S. Corwin Award** (best doctoral dissertation in public law)
- **Helen Dwight Reid Award** (best doctoral dissertation in international relations, law and politics)
- **Heinz Eulau Award** (best articles published in *American Political Science Review* and *Perspectives on Politics* during the previous calendar year)
- **James Madison Award** (American political scientist who has made a distinguished scholarly contribution to political science)
- **Gladys M. Kammerer Policy Studies Award** (best political science publication in the previous calendar year in U.S. national policy)
- **Victoria Schuck Award** (best book published in the previous calendar year on women and politics)
- **Ithiel de Sola Pool Lectureship** (given to scholar selected to present a lecture exploring the implications of on issues of politics in a broad range of scholarship pursued by Ithiel de Sola Pool)
- **Charles E. Merriam Award** (recognizes a person whose published work and career represent a significant contribution to the art of government through the application of social science research)

# Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding

OMB No. 1545-1621

▶ Section references are to the Internal Revenue Code. ▶ See separate instructions.  
 ▶ Give this form to the withholding agent or payer. Do not send to the IRS.

**Do not use this form for:**

- A U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- A person claiming that income is effectively connected with the conduct of a trade or business in the United States . . . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions) . . . . . W-8ECI or W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that received effectively connected income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (see instructions) . . . . . W-8ECI or W-8EXP

**Instead, use Form:**

**Note:** These entities should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to claim they are a foreign person exempt from backup withholding.

- A person acting as an intermediary . . . . . W-8IMY

**Note:** See instructions for additional exceptions.

**Part I Identification of Beneficial Owner** (See instructions.)

<b>1</b> Name of individual or organization that is the beneficial owner	<b>2</b> Country of incorporation or organization
<b>3</b> Type of beneficial owner: <input type="checkbox"/> Individual <input type="checkbox"/> Corporation <input type="checkbox"/> Disregarded entity <input type="checkbox"/> Partnership <input type="checkbox"/> Simple trust <input type="checkbox"/> Grantor trust <input type="checkbox"/> Complex trust <input type="checkbox"/> Estate <input type="checkbox"/> Government <input type="checkbox"/> International organization <input type="checkbox"/> Central bank of issue <input type="checkbox"/> Tax-exempt organization <input type="checkbox"/> Private foundation	
<b>4</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>	
City or town, state or province. Include postal code where appropriate.	Country (do not abbreviate)
<b>5</b> Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country (do not abbreviate)
<b>6</b> U.S. taxpayer identification number, if required (see instructions) <input type="checkbox"/> SSN or ITIN <input type="checkbox"/> EIN	<b>7</b> Foreign tax identifying number, if any (optional)
<b>8</b> Reference number(s) (see instructions)	

**Part II Claim of Tax Treaty Benefits** (if applicable)

**9 I certify that (check all that apply):**

- a  The beneficial owner is a resident of ..... within the meaning of the income tax treaty between the United States and that country.
- b  If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).
- c  The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).
- d  The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).
- e  The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(b) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.

**10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article ..... of the treaty identified on line 9a above to claim a ..... % rate of withholding on (specify type of income): .....  
 Explain the reasons the beneficial owner meets the terms of the treaty article: .....

**Part III Notional Principal Contracts**

**11**  I have provided or will provide a statement that identifies those notional principal contracts from which the income is **not** effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.

**Part IV Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- 1** I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates,
- 2** The beneficial owner is not a U.S. person,
- 3** The income to which this form relates is (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, **and**
- 4** For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.

**Sign Here** ▶

Signature of beneficial owner (or individual authorized to sign for beneficial owner)      Date (MM-DD-YYYY)      Capacity in which acting

## Request for Taxpayer Identification Number and Certification

**Give form to the  
 requester. Do not  
 send to the IRS.**

<b>Print or type See Specific Instructions on page 2.</b>	Name (as shown on your income tax return)	
	Business name, if different from above	
	Check appropriate box: <input type="checkbox"/> Individual/Sole proprietor <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶ ..... <input type="checkbox"/> Exempt payee <input type="checkbox"/> Other (see instructions) ▶	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	City, state, and ZIP code	
	List account number(s) here (optional)	

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number
or
Employer identification number

**Note.** If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

### Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on page 4.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

## General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

### Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

**Note.** If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,

- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a “saving clause.” Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called “backup withholding.” Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Business name” line.

**Limited liability company (LLC).** Check the “Limited liability company” box only and enter the appropriate code for the tax classification (“D” for disregarded entity, “C” for corporation, “P” for partnership) in the space provided.

For a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Regulations section 301.7701-3, enter the owner’s name on the “Name” line. Enter the LLC’s name on the “Business name” line.

For an LLC classified as a partnership or a corporation, enter the LLC’s name on the “Name” line and any business, trade, or DBA name on the “Business name” line.

**Other entities.** Enter your business name as shown on required federal tax documents on the “Name” line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the “Business name” line.

**Note.** You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

### Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the “Exempt payee” box in the line following the business name, sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

**Note.** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
2. The United States or any of its agencies or instrumentalities,
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,
7. A foreign central bank of issue,
8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
9. A futures commission merchant registered with the Commodity Futures Trading Commission,
10. A real estate investment trust,
11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
12. A common trust fund operated by a bank under section 584(a),
13. A financial institution,
14. A middleman known in the investment community as a nominee or custodian, or
15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 7

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, and payments for services paid by a federal executive agency.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited liability company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note.** See the chart on page 4 for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at [www.ssa.gov](http://www.ssa.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/businesses](http://www.irs.gov/businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting [www.irs.gov](http://www.irs.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note.** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt payees, see *Exempt Payee* on page 2.

**Signature requirements.** Complete the certification as indicated in 1 through 5 below.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

## Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

Call the IRS at 1-800-829-1040 if you think your identity has been used inappropriately for tax purposes.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

### Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS personal property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: [spam@uce.gov](mailto:spam@uce.gov) or contact them at [www.consumer.gov/idtheft](http://www.consumer.gov/idtheft) or 1-877-IDTHEFT(438-4338).

Visit the IRS website at [www.irs.gov](http://www.irs.gov) to learn more about identity theft and how to reduce your risk.

## What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
For this type of account:	Give name and EIN of:
6. Disregarded entity not owned by an individual	The owner
7. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
8. Corporate or LLC electing corporate status on Form 8832	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership or multi-member LLC	The partnership
11. A broker or registered nominee	The broker or nominee
12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or "DBA" name on the second name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

**Note.** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, the District of Columbia, and U.S. possessions to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.

# POLICIES MANUAL

Cover sheet

## Guidelines for Advocacy and Policy Positions

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NAME OF POLICY

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Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 01/18/2022

# AMERICAN POLITICAL SCIENCE ASSOCIATION

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### Advocacy for the Discipline of Political Science

- A) In keeping with the purposes of the American Political Science Association “to encourage the study of political science, support political scientists in their research, teaching, and public engagement, and publish materials related to political science[,]” (Bylaws Article 1, Section 3) and in accordance with Bylaw provisions that empower the Association to take action, consistent with its 501(c)(3) tax-exempt status, in pursuit of these purposes (Ibid.), the Association maintains a program on government relations and actively engages in activities to strengthen the discipline of political science.
  
- B) The Association’s government relations work and advocacy activities advance the discipline of political science by educating policy makers and the citizenry about political science scholarship and education. The program aims to ensure strong government support for basic and applied political science research.
  
- C) Examples of advocacy work to support the discipline include, but are not limited to:
  - 1. collaborating with academic and institutional partners that advocate on behalf of government support for political science research;
  - 2. meeting with and briefing members of Congress and their staff and other policymakers, and arranging for Association members to meet with these groups;
  - 3. mobilizing Association members through letter campaigns to Congress and other policy makers, through policy alerts, and through other communications, and by providing resources and training to members to support advocacy activities;
  - 4. publicizing political science research and teaching and its impact on citizenship and our understanding of political processes;
  - 5. mobilizing university and college officials, government relations officers, and other interested stakeholders in support of the discipline;
  - 6. participating in events that promote government-funded scientific research and the value of scientific research;
  - 7. writing letters to elected representatives and other policymakers and/or signing on to letters to advocate for funding for political science and other disciplines;
  - 8. writing op-eds and press releases in the name of the Association or its leaders to publicize the value of government support for political science research;
  - 9. employing staff members to engage in government relations work; and
  - 10. using the services of an outside lobbyist or lobbyists to monitor legislative developments related to funding for political science and to lobby on behalf of political science.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Guidelines for Advocacy and Policy Positions

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- D) The Association will conduct lobbying activities within the permitted parameters of the 501(c)(3) structure. In accordance with its 501(c)(3) status, lobbying activities will not form a substantial part of the Association's overall activities. The Association also will remain strictly nonpartisan.
- E) The Association may conduct advocacy activities on the range of issues relevant to supporting political science, including, but not limited to, funding for the National Science Foundation, National Endowment for the Humanities, and Title VI/Fulbright-Hays, and promoting independent peer review of science.
- F) Advocacy activities on behalf of political science may include activities undertaken in support of the broader categories of science, social science, and the humanities.

### Advocacy for Academic Freedom

- A) The Association "strongly supports academic freedom" (Bylaws Article 1, Section 3) in its pursuit of its purposes and may engage in advocacy activities in support of this goal.
- B) Activities to support academic freedom include, but are not limited to:
  1. joining coalitions to support academic freedom;
  2. engaging in advocacy activities and campaigns on behalf of political scientists within or outside the United States whose academic freedom is threatened;
  3. adopting resolutions, writing press releases and op-eds, and publishing other communications in support of academic freedom;
  4. filing amicus curiae briefs in its name that contribute political science research to pending court cases or joining amicus curiae briefs; and
  5. providing support, as requested and where appropriate, to individual political scientists and other scholars to address questions related to academic freedom, in accordance, where applicable, with the procedures in the Association's *A Guide to Professional Ethics in Political Science*.

### Decision-making Processes

- A) Association Staff and Leadership-Initiated Advocacy for the Discipline of Political Science. In line with the 2012-2013 Council decision to actively engage in advocacy on behalf of the discipline, Association staff and leadership may propose for consideration any public or non-public communications related to advocacy on behalf of funding for political science.
  1. Routine actions. APSA staff members assigned to carry out government relations work may engage in routine public communications such as updating the APSA advocacy website to report on current funding developments, reporting on funding developments via social media, and signing on to funding-related letters in consultation with a staff supervisor.
  2. Targeted statements and letters on political science funding. The Association Executive Director, or staff member acting as the proxy in her/his absence, approves actions such as sending statements or letters to elected representatives during appropriate junctures in the legislative process and issuing advocacy alerts to the

# AMERICAN POLITICAL SCIENCE ASSOCIATION

APSA membership. In the case of exceptional developments in the legislative cycle that affect political science funding, statements and letters will be released after approval by the Executive Director and President, following consultation (as referred to here and elsewhere in this document to consist of notice to the Council and period to receive comments from Council members) with the Council. In the case of highly time-sensitive actions, the Executive Director and/or President may choose to release communications where consultation would prevent timely or effective action. Additional communications. Additional communications actively promoted to audiences beyond Association membership, such as public statements or press releases sent through newswires and op-eds in the name of the Association or its leaders, will be released after approval by the Executive Director, President, Past-President and President-Elect, following consultation with the Executive Committee. In the case of highly time-sensitive actions, the Executive Director and/or President may choose to promote communications to the public where consultation with the Executive Committee would prevent timely or effective action.

- B) Association Staff and Leadership-Initiated Advocacy for Academic Freedom. The Association follows the general decision-making processes outlined in Article 5, Section A, above, with the following exceptions.
1. Statements and letters, which may include recipients such as universities or foreign governments, will be released with approval by the Executive Director, President, past-President, and President-Elect, following consultation with the Executive Committee.
  2. In the case of highly time-sensitive actions, the Executive Director and/or President may choose to approve statements and letters or promote communications to the public where consultation with the Executive Committee would prevent timely or effective action.
  3. Where applicable, the Executive Director and/or the President may pursue advocacy in consultation with the Committee on Professional Ethics, Rights, and Freedoms or refer an advocacy action to the Committee.
- C) Member-Initiated Advocacy. Beyond petitioning to place questions before the membership for a vote (Bylaws Article II, Section 1), Association members may propose advocacy actions and policy positions through committees or directly to the Association. The Executive Director and/or President may request supporting materials connected to the request and will report back in a timely manner after receiving all necessary information connected to an advocacy proposal regarding what actions, if any, the Association will undertake. Where applicable, the Association will refer grievances connected to academic freedom to the Ethics Committee to be addressed in accordance with the procedures in the Association's *A Guide to Professional Ethics in Political Science*. In determining what actions APSA may take, the Executive Director will consult with the appropriate parties, in line with the decision-making process above, based on the nature of the proposed action.

# POLICIES MANUAL

Cover sheet

## APSA Policy for Siting the Annual Meeting and Other Conferences

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NAME OF POLICY

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More – see reverse for complete list

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Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Policy for Siting the Annual Meeting and other Conferences

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In siting its meetings and conferences, particularly the Annual Meeting, the American Political Science Association strives to ensure that meeting locations are accessible and welcoming to all APSA members. In making siting decisions, APSA shall consider the following factors:

- 1) Geographically accessible siting: APSA will strive to site meetings in areas that are geographically accessible both to travel to and to travel around.
  - a) Rotation of meeting sites: APSA rotates its meetings within North America to increase regional access.
  - b) National airport accessibility: APSA meetings will be sited in areas that have access to airports with sufficient capacity and accessibility to accommodate a large number of attendees from around the country and the world.
  - c) Accessibility to transportation, hospitality and cultural resources: APSA meetings will be sited in areas with good accessibility to public transportation options as well as hospitality and cultural resources.
  - d) Contiguous properties: APSA selects locations with adequate hotel space within walking distance of meeting rooms.
- 2) Low costs: In determining the siting and timing of meetings APSA will strive to keep attendee costs as low as possible. This increases accessibility for members with relatively fewer resources including graduate students, community college faculty and faculty at non-PhD granting departments.
- 3) Welcoming atmosphere: APSA will make siting decisions such that all members have a reasonable basis for feeling welcome to attend the meeting.
  - a) Non-discrimination and minority rights: Discriminatory settings and policies that abridge any member's rights clearly make a welcoming atmosphere impossible to achieve. APSA will not site meetings or conferences in locations with policies and practices that discriminate against members for their actual or perceived gender, gender identity, race, color, national origin, sexual orientation, physical handicap, disability, or religion.
  - b) Family-friendly setting: Feeling welcome extends to personal relationships as well as to professional ones. APSA endorses "family friendly" policy in professional life and strives to make siting decisions such that members with families feel welcome at APSA meetings and conferences.
  - c) Accessible facilities: APSA works closely with our hotel partners to assure accessibility to facilities at our meeting, including ADA compliance and full accessibility for transgender members. We provide other reasonable accommodation to members notifying us of their needs.
- 4) Organized labor: APSA shall make every effort to give preference to a suitable unionized hotel and/or service provider, cost considerations being otherwise similar.
- 5) Sustainability: APSA is cognizant of the environmental consequences of holding large meetings, and is committed to working closely with the hospitality industry and local visitors bureaus to make the local sites as green as possible, cost considerations and the quality of meeting services otherwise similar.
- 6) Partnership with the convention and hospitality industry: APSA strives to work with local Convention Visitors Bureaus (CVB's), hotel chains, and other vendors in ways that build long-term positive relationships because such relationships are good business and also assure APSA of favorable terms for its meetings in the long-run. APSA also strives to work with minority and/or women owned businesses and contractors where circumstances allow.

# POLICIES MANUAL

Cover sheet

## Policy on Panel Allocations

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Executive Director

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Annual Meeting Panel Allocation

Panels at the APSA Annual Meeting are distributed among divisions, theme panels, APSA-sponsored panels, and Related Groups based on a formula set by the APSA Council. The formula works to ensure representation of a variety of topics and methods while being responsive to demand from both audiences and presenters. This formula is detailed below.

Determining Overall Meeting Size

The overall number of panels at the APSA Annual Meeting is determined by the APSA Meetings staff based on room availability at the Annual Meeting location, after accounting for regular non-panel events like interview services, luncheons and business meetings, and TLC at APSA. The goal for each Annual Meeting is to maximize the number of panel slots available given the location.

Dividing Overall Panel Availability

Once the overall number of panel slots has been determined, these panel slots are distributed among four major groups: division chairs, program co-chairs (for theme panels), Related Group chairs, and APSA-sponsored panels. This distribution is as follows:

*Division Chairs*

Division chairs are allocated the bulk of the panels at the Annual Meeting, with 82% of the total available panels reserved for use by the divisions.

*Program Co-Chairs*

Program committee co-chairs are allocated 4% of the total number of available panels. The program co-chairs may use these panels to build upon the theme for the program.

*Related Groups*

Related Groups are allocated a percentage of available panels equal to Related Group panel attendance as a percentage of total panel attendance in the previous year. The number of panels available to related groups is fixed at no more than 9% of the available panels.

*APSA-Sponsored Panels*

The APSA offices sponsor a variety of panels, including professional development programming, panels organized by the Association’s standing and ad hoc committees, APSA department panels, and panels promised through MOUs with various groups. The APSA offices are allocated 5% of available panels.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Annual Meeting Panel Allocation Formula

Page 2

### *Remaining Panels*

Because a certain number of panels is set aside for Related Groups but the final related group allocation depends on the previous year's attendance, there may be panels remaining at the end of this initial allocation process. These panels are allocated to the APSA offices, which may redistribute them to the division chairs or program co-chairs at their discretion.

### Allocating Program Time Slots among Divisions and Related Groups

Once the number of panels allocated to the divisions and Related Groups is determined the allocation for each individual division and Related Group must then be determined. This allocation takes into account both the group's panel attendance at the previous Annual Meeting as well as the number of submissions received for the upcoming Annual Meeting, with 80% being based on attendance and 20% based on submissions.

### *Step One: Allocations Based on Attendance*

Attendance allocations are based on raw attendance data by panel collected each year. These raw counts are capped at 70 for each panel, to moderate the advantage that groups receive from using non-paper panels, big-name speakers, or other unusual draws. From there, an estimate of panel attendance is created for each group, accounting for time-slot (the day-time combination: Sunday at 8:00am vs. Friday at 2:00pm, for example) and location. This provides an estimated number of attendees that would be expected at an "average" panel for each group.

Attendance allocations are made using these estimated attendance figures, based on whether a group's average estimated attendance was higher or lower than the overall average attendance for that year.

### *Step Two: Allocations Based on Submissions*

The remaining 20% of the panel allocations are allocated to groups based on the number of paper submissions they receive. This procedure is meant to reduce the differences in acceptance rates across groups, and to alleviate disparities in a paper's chance of being accepted caused by the group to which the paper was submitted. These allocations are based on current-year submissions to each group, and allow for groups to gain additional panel allocations if the number of submissions they received is relatively higher than their initial allocation based on attendance.

### *Cap on Related Groups*

The allocation for any individual Related Group is capped at the median panel allocation for divisions.

### *New Divisions and Related Groups*

New divisions receive three panels for the first year that they are included in the panel allocation process, while new Related Groups receive one panel. After the first year, when initial attendance figures are established, groups are included in the general panel allocation process.

### Posters and other Session Types

The APSA Annual Meeting may include poster sessions, virtual panels, or other session types that are not accounted for in the above panel allocation formula. These will be made available to divisions and program co-chairs based on availability, and in proportion to each division's allocation as determined by this formula. These sessions will be made available to Related Groups and APSA-sponsored panels at the discretion of the APSA offices.

# POLICIES MANUAL

Cover sheet

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## Anti-Harassment Policy

NAME OF POLICY

Approved by Council (date): April 9, 2016

Effective date: April 9, 2016

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): 2016  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Anti-Harassment Policy

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APSA has received notice from several sources that graduate students and faculty have experienced sexual harassment at various conference venues. APSA consequently reminds everyone:

The APSA annual meeting and related regional political science meetings are convened for the purposes of professional development and scholarly and educational interchange in the spirit of free inquiry and free expression. Harassment of colleagues, students, or other conference participants undermines the principle of equity at the heart of these professional fora and is inconsistent with the principles of free inquiry and free expression. Consequently, harassment is considered by APSA to be a serious form of professional misconduct.

The following Anti-Harassment Policy outlines expectations for all those who attend or participate in APSA meetings. **It reminds APSA meeting participants that all professional academic ethics and norms apply as standards of behavior and interaction at these meetings.**

### 1. Purpose

APSA is committed to providing a safe and welcoming conference environment for all participants, regardless of actual or perceived gender, gender identity, race, ethnicity, sexual orientation, ability, socioeconomic status, age, or religion.

“Participant” in this policy refers to anyone present at APSA meetings, including staff, contractors, vendors, exhibitors, venue staff, APSA members, and all other attendees.

### 2. Expected Behavior

All participants at APSA meetings are expected to abide by this Anti-Harassment Policy in all meeting venues including ancillary events and official and unofficial social gatherings.

- Abide by the norms of professional respect that are necessary to promote the conditions for free academic interchange.
- If you witness potential harm to a conference participant, be proactive in helping to mitigate or avoid that harm.
- Alert conference or security personnel if you see a situation in which someone might be in imminent physical danger.

### 3. Unacceptable Behavior

Unacceptable behaviors include:

- persistent and unwelcome solicitation of emotional or physical intimacy
- persistent and unwelcome solicitation of emotional or physical intimacy accompanied by real or implied threat of professional harm
- intimidating, harassing, abusive, derogatory or demeaning speech or actions by any participant in an APSA meeting and/or at any related event.
- prejudicial actions or comments related to actual or perceived gender, gender identity, race, ethnicity, sexual orientation, ability, socioeconomic status, age, or religion that coerce others, foment broad hostility, or otherwise undermine professional equity or the principles of free academic exchange.
- deliberate intimidation, stalking or following;
- harassing photography or recording; x\_ sustained disruption of talks or other events;
- physical assault (including unwelcome touch or groping)
- real or implied threat of physical harm

# POLICIES MANUAL

Cover sheet

## Procedures For Violations of the Sexual Harassment Provisions of the APSA Anti-Harassment Policy


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NAME OF POLICY

Approved by Council (date): April 25, 2022

Effective date: April 25, 2022

Replaces policy adopted (date): March 3, 2018  None (new policy)

Text and above details confirmed:  Signature

Executive Director Title

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Distributed to (list): APSA Council

More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:



Executive Director

Date completed: 5/04/2022

**FINAL PROCEDURES FOR VIOLATIONS OF THE SEXUAL HARASSMENT PROVISIONS OF  
THE APSA ANTI-HARASSMENT POLICY**

**Approved by APSA Council**

**April 8, 2017**

**Chicago, Illinois**

**Updated by APSA Council**

**March 3, 2018 and April 25, 2022**

**Created by**

**APSA's Ad-hoc Committee on Sexual Harassment**

Roxanne Euben (Chair), Amaney Jamal, Taeku Lee, Betsy Super

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**I. PREFACE ON ROLE OF OMBUDS:** There are three possible places to start if you believe that you have experienced sexual harassment, or have concerns about violations of the sexual harassment provisions of the APSA anti-harassment policy. The first is the Ombuds of the APSA, who is available for confidential consultation about a wide range of concerns, including but not limited to sexual harassment. The second is the Sexual Harassment Intake Advisor (IA, see IV below), the point of first contact if you are considering pursuing the options the APSA offers for reporting and responding to incidents of sexual harassment.

The third is APSA EthicsPoint, the confidential online reporting tool created by NAVEX Global to assist APSA in managing reports of harassment from meeting, conference, and workshop attendees, individuals with professional ethics grievances, and general ethics inquiries related to an APSA entity or event, whether reported by APSA members or non-members. For more on APSA EthicsPoint, see <https://connect.apsanet.org/respect/submit-a-grievance/> and [www.apsanet.ethicspoint.com](http://www.apsanet.ethicspoint.com). If you use EthicsPoint, please indicate what advice you want about your report, returning to the EthicsPoint site to so indicate within **one week** of your initial report. APSA wishes to be a resource to you, is most willing to help you and depends on your advice in our efforts to serve as a resource and help you. As you indicate the advice you wish, be aware that you have two options for pursuing a complaint of sexual harassment through APSA, the advisory and the formal complaint options; for more on both options, (see V below).

The Ombuds plays no role in APSA's sexual harassment procedures, but can provide you with invaluable guidance about what constitutes sexual harassment; help explain APSA options for reporting sexual harassment; and outline other avenues for pursuing such a complaint, such as state or local government, human rights or law enforcement agencies, the federal Equal Employment Opportunity Commission, or the Office for Civil Rights of the U.S. (along with the deadlines for filing complaints with these agencies). The Ombuds cannot provide legal advice, but the Ombuds can offer support and guidance even if you elect to

pursue no procedures whatsoever.

It is strongly recommended that you first consult with the Ombuds for clarification about the entire range of your options. This consultation is confidential and the details of such a conversation will not be reported to any administrator, officer, or committee of the APSA, except as required by law. **At all times, the role of the Ombuds is entirely independent of any sexual harassment complaint you may decide to pursue through the following APSA procedures.**

**II. SEXUAL HARASSMENT PROCEDURES: SCOPE, ELIGIBILITY AND DEADLINE:** These Sexual Harassment Procedures currently apply to all attendees at the APSA Annual Meeting & Exhibition and APSA workshops and conferences, for the duration of the annual meeting and the particular workshop or conference. (Normally, the annual meeting runs from a Wednesday morning to Sunday afternoon in late August or September, with specific dates posted on the APSA website.) Any attendee of the APSA Annual Meeting & Exhibition or an APSA workshops or conferences may pursue a complaint of sexual harassment regarding an incident that has occurred within the last two years. The Sexual Harassment Committee (see sec. V below) may, upon request, consider a complaint regarding an incident that occurred more than two years prior to initiating a report. If a complaint is currently being pursued through another venue, such as a Title IX inquiry or an EEOC complaint, the APSA will not concurrently review a formal complaint.

The APSA Council may choose to expand these procedures to all APSA events and fellowship programs.

- II. INTAKE:** If you are an attendee of the APSA Annual Meeting and Exhibition or of an APSA workshop or conference; if you believe you have experienced sexual harassment or have concerns about violations of the sexual harassment provisions of the APSA anti-harassment policy; and you want advice about whether to pursue one of APSA's options for reporting and responding to the incident, you have two options:
1. You can contact the Sexual Harassment Intake Advisor (hereafter IA). The IA is a staff member trained in support and advising in relation to experiences of sexual harassment, and can provide detailed information about the options for pursuing a sexual harassment complaint within the procedures of APSA. The IA cannot provide legal advice, but can outline alternative venues for pursuing such a complaint, as needed. Should you decide to pursue one of APSA's two options, the IA can also guide and support you throughout the process, but contacting and meeting with the IA does not obligate you to report a sexual harassment incident through these APSA procedures.
  2. You may also enter a report at EthicsPoint, as discussed above at (I). Again, please indicate what advice you want about your report, returning to the EthicsPoint site to so indicate within **one week** of your initial report.

**IV. CONSTITUTION OF THE SEXUAL HARASSMENT COMMITTEE:** In the case of a complaint, the Executive Director, in consultation with the President, shall appoint an ad hoc Sexual Harassment Committee (hereafter HC) consisting of three to five members with no conflicts of interest in the case at hand. Members will be chosen in part on the basis of their expertise and experience in investigating claims of sexual harassment. Additional training will be provided if appropriate for particular cases. Members of the ad hoc committee, like all APSA committees members, are fully insured against all legal liability. The ad hoc committee's work will be accompanied by an APSA staff member with extensive training who will provide institutional memory, continuity, and expertise. The committee will exercise its best professional judgement and work in close consultation with APSA legal counsel, who will provide ongoing guidance on all issues relating to the gathering and scrutiny of evidence. The Executive Director shall seek to appoint a committee within one month.

## **V. OPTIONS FOR PURSUING A COMPLAINT OF SEXUAL HARASSMENT THROUGH APSA:**

The APSA has two options through which you can pursue a complaint of sexual harassment, both outlined in what follows. **These can be taken as two alternative routes to pursue a complaint, or as options that can be pursued in sequence.** This means that, if you initially pursue option 1, you are not barred from eventually pursuing option 2, provided that the process connected with option 1 has concluded, and that the formal complaint of sexual harassment you file (option 2) is still regarding an incident that took place within the last two years.

**As a general principle, the APSA will make every effort to protect complainants from retaliation.**

**A. Option 1. Advisory:** If you and the chair of the Sexual Harassment Committee (or you and the HC as a whole) decide that it makes sense for you, the HC can issue an advisory that does not include a fact finding stage. In this event, the Executive Director (or designated member of APSA staff) will inform the person whose behavior is in question that a complaint has been made, remind them of the anti-harassment policy, and/or point the individual toward existing resources for recognizing what constitutes sexual harassment as needed. With this advisory, no further action will be taken. Persons who receive an advisory will have the opportunity to respond to the APSA in writing. The HC may consult with APSA legal counsel for advice as needed.

Every effort will be made to preserve the confidentiality of both parties. If it becomes evident to the HC that confidentiality is difficult to maintain, the HC will defer to the preferences of the complainant on the next steps.

**B. Option 2. Formal Complaint:** You can pursue a formal complaint with the Sexual Harassment Committee, either by contacting the Chair of the HC directly, or via the designated Sexual Harassment Intake Advisor (IA).

**C. On-Site Complaint:** In the event that there's a report of sexual harassment occurring while the APSA Annual Meeting & Exhibition or an APSA workshop or conference is ongoing, the following will be applied to the foregoing procedures and, when necessary, supersede them:

1. If sexual harassment is observed or reported to any APSA staff member, Council member, meeting, conference or workshop attendee, or venue employee, and there is a question of immediate physical danger, steps should be taken to ensure immediate safety of all attendees and staff, regardless of any complaint procedure that may follow.
2. Afterwards or otherwise: any report received by a staff member must immediately refer it to the designated IAs on-site. The IA then approaches the individual identified in the report as sexually harassed to discuss resources and options for pursuing a complaint, and determine if the person wishes report the incident. The avenues for reporting a complaint include the two options (see A & B above) specified by these APSA procedures, state or local government, human rights or law enforcement agencies, the federal Equal Employment Opportunity Commission, or the Office for Civil Rights of the U.S. The IA cannot provide legal advice, but can discuss the various options that are available to you.
3. In the case of egregious behavior, in consultation with the IA and the President of APSA, the Executive Director may sanction a member.
4. Regardless of the action taken, a report must be filed with an IA and kept at APSA HQ for

aggregate reporting purposes.

**VI. COMPLAINT: INVESTIGATION AND DETERMINATION OF FINDINGS:** Investigation will be conducted in every case where a complainant wishes to make a formal complaint. The following is the suggested sequence of steps for investigating a formal complaint.

1) Following consultation with the IA, the complainant decides to file a formal complaint with the HC. This is done either by the complainant contacting the Chair of the HC directly or via the designated IA.

2) All fact finding will be conducted under the auspices of the HC. If a member of the HC identifies a conflict of interest, defined as current or past intimate relationship or family relation; current or past shared university affiliation; current or past relationship of co-authorship or collaboration; or prior PhD supervision of either the complainant or individual whose conduct is in question, the following shall apply:

In the event that any of the *faculty* members on the HC had a prior relationship with either party to the complaint, that faculty member will be replaced by another member of the Committee on Professional Ethics, Rights and Freedoms. In the event that the *staff* member on the HC has had a prior relationship with either party to the complaint, that staff member will be replaced by another staff member who has already completed the full training in sexual harassment.

3) The complainant will be asked to provide a written statement to the Chair of the HC. The written statement should include as much identifying information as possible (name/institution/position) of the person accused of the violation; the behavior that was in violation; the approximate time/date of the behavior; the location and circumstances surrounding the incident; and any other people that may have been involved in or witnessed the incident.

4) The Chair of the HC or the Executive Director shall inform the individual whose conduct is in question of the complaint. A written statement of the complaint shall be made available to both parties.

5) The individual whose conduct is in question will also be asked to provide a written statement providing their account of the activities covered in the complaint.

6) The HC may ask to meet with either complainant or the individual in question; solicit evidence and statements from identified witnesses at their discretion; and consult others with direct knowledge of the event in question, as indicated by the accused, victim or witnesses. While these are all available routes by which the HC can gather additional information, the committee is not required to pursue any one of them. The HC may work with APSA staff to consult legal counsel for the APSA for advice at any time. At all stages, members of the HC must maintain strict confidentiality to the extent possible.

7) Any fact finding or written statements submitted to the HC will be shared with either party upon their request. All proceedings are to remain confidential until the fact-finding process has been completed and the HC has made a decision for action. All parties are also requested to maintain confidentiality until the complaint procedure is complete.

8) All determinations by the HC should be unanimous.

9) When the HC has reached its determination but before the parties have been notified, the President of the APSA, the Executive Director (or designated member of APSA staff) and Chair of the HC shall meet to consider what steps can be taken given the particulars of the case to protect the complainant from retaliatory

action by those named in the complaint.

10) A written summary of the decision and/or recommended action will be provided in writing to all parties upon completion of the fact-finding and determination process (See section IX: Notification of Parties).

11) **On-site at a meeting:** Investigation or fact-finding for a complaint made on-site at the APSA annual meeting, workshop, or conference will follow the same procedures and guidelines as above. The IA may begin gathering information for a future HC proceeding.

**VII. COMPLAINT: SCOPE OF POTENTIAL OUTCOMES:** The HC will determine the sanction(s) based on the severity of the violation, and submit the determination in the form of a recommendation to be approved by the President of the APSA and the Executive Director. The range of sanctions includes the following, which may be applied individually or in combination, with the length of time to be determined by the HC as part of the sanction itself.

Sanctions take effect immediately after the President of the APSA and the Executive Director have approved the HC's recommendation and notified all parties in writing of the determination.

1. Warning the harasser to cease their behavior;
2. Termination of any APSA meeting, conference, or workshop participation, as well as any ongoing APSA responsibilities and appointments held by the harasser;
3. Barring the harasser from assuming any future governance positions within APSA;
4. Barring the harasser from future APSA meetings, conferences, and/or workshops;
5. Recommend to Council revoking APSA membership.

#### **VIII. COMPLAINT: NOTIFICATION OF PARTIES:**

**1) Negative/Inconclusive Finding:** In the event that the HC's finding is inconclusive or negative, or if the HC is not unanimous in its determination that policy has been violated, the Chair of the HC will convey this to the Executive Director and the President of the APSA, who will inform both parties of the HC's finding in writing.

**2) Finding of Sexual Harassment:** In the event that the HC finds that sexual harassment has occurred (and has determined the appropriate sanctions), the Chair of the HC will convey the finding and the sanctions in writing in the form of a recommendation to be approved by the Executive Director (or a staff member designated by the ED) and the President of the APSA, who will inform both parties of the HC's finding and sanctions in writing.

**IX. COMPLAINT: APPEAL:** Should either party wish to appeal a decision within 30 days after it is made, they may make an appeal to an Ad-hoc Appeals Committee consisting of the APSA President, Past-President, and President-Elect (chaired by the Past President), and Executive Director. Grounds for appeal include a claim of procedural error, substantive or significant new evidence, evidence of the use of impermissible criteria, or evidence of bias in the treatment of the fact-finding and decision process.

# POLICIES MANUAL

Cover sheet

## APSA Member Revocation Policy

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NAME OF POLICY

Approved by Council (date): April 25, 2022

Effective date: April 25, 2022

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Text and above details confirmed:  Signature

Executive Director Title

Posted on website (date): April 27, 2022  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:



Executive Director

Date completed: 5/04/2022

## AMERICAN POLITICAL SCIENCE ASSOCIATION

### Member Revocation Policy

**(Approved by the APSA Council on April 30, 2021; Updated by APSA Council on April 25, 2022)**

Members of the association, participants in the APSA Annual Meeting and the Teaching and Learning Conference, and individuals who hold association leadership positions (Council, Committees, and Fellowship and award/review committees) are expected to meet the commonly held standards of professional ethics and scientific integrity. In the rare case that an APSA member, a meeting or conference attendee, or an individual in a leadership position no longer meets this expectation, as established through outside investigative proceedings and determinations, the following set of guidelines and procedures are to be followed to request revocation and for the consideration of the request to revoke an individual's APSA's membership, meeting participation privileges, and/or their association leadership positions and privileges.

**Scope:** APSA will, in its sole discretion, consider revoking association membership, annual meeting and teaching and learning conference participation privileges, and leadership positions and privileges in cases of outside findings of scientific misconduct, serious breaches of professional ethics, or when the individual in the view of APSA otherwise has engaged in misconduct or other concerning behavior that no longer merits the status of member, meeting and conference attendee or association leader. Requests to revoke an individual's status will be handled in accordance with the procedures provided herein. Separate policies and procedures apply when there are findings of violations of APSA's Ethics Guide and APSA's event attendance policies. Conduct or behavior that might be the basis for revocation under this policy includes but is not limited to sexual misconduct, racial discrimination, sexual harassment or retaliation for declining, objecting to, or reporting harassment or other sexual conduct, or other professional ethics violations. This policy covers outside findings about professional activities wherever they take place. This includes, but is not limited to, academic buildings, field sites, course venues, professional meetings, or any such professional settings. This policy includes interactions with persons such as, but not limited to, colleagues, subordinates, students, teaching or research assistants, venue or administrative staff or others with whom the individual in question interacts as part of their professional activities.

#### **Procedures:**

1. A request for revocation should be made in writing to the Executive Director of the APSA. Requests may be sent to: [ethics@apsanet.org](mailto:ethics@apsanet.org) or submitted via EthicsPoint (<https://apsanet.ethicspoint.com>). In the event that an ad hoc committee is convened to review a revocation request, the identity of the requestor will be shared with the subject of the revocation request.

A request must include an investigative report that documents findings, sanctions, or actions taken by a credible body or the public announcement of findings, sanctions or actions taken by a credible body as a result of an investigation. The documentation submitted must include information sufficient to determine the nature of the underlying conduct or behavior and that findings were made that the member engaged in scientific misconduct, serious breaches of professional ethics, or other misconduct or concerning behavior within the scope of this policy. Media and press reports alone may not be sufficient to support a revocation request. A credible

body includes entities such as the Federal government's Office of Research Integrity, other Federal or state agencies (e.g., NSF, NIH, etc.), a professional organization, an academic institution, a Title IX investigation finding, a court of law, or admission(s) of conduct by the individual in question. Requests must pertain to an individual who has held APSA membership, attended the APSA Annual Meeting or Teaching and Learning Conference, or held a leadership position within the past five years from the date of the request. APSA will not consider reports or announcements that pertain to cases that are still under investigation by another body. The requestor must include detailed information about the sources used in order to enable verification of information. In addition, the requestor must agree in writing to maintain the confidentiality of the matter until its conclusion at APSA.

The request must be made by an individual with a current APSA membership. There is no time limit on when the investigative reports or other findings were completed. APSA will not consider requests when the individual in question is deceased. During revocation procedures, deliberations on claims will be based on the evidence provided. Review by APSA of complaints or charges beyond information presented in the request or otherwise available publicly (such as publications or court records) will not occur as part of revocation procedures.

2. The APSA Executive Office will conduct a preliminary review to determine if the request is substantive, has adequate documentation, and complies with these Procedures.

3. As a result of this review, if any of the aforementioned requirements are not met, the Executive Office will dismiss the request. The APSA Executive Office will provide a report detailing its dismissal decision to the Executive Committee and the Ethics Committee.

4. If the Executive Office determines that all requirements are met, these Procedures will continue and the request will be forwarded to the Ethics Committee, along with a report detailing the Executive Office's recommendation that the Ethics Committee should make a decision about moving forward with revocation proceedings as provided in number 5 below. A copy of the Executive Office's report shall also be provided to the Executive Committee.

5. Upon its review of the APSA Executive Office's report that the preliminary review requirements have been met, and based on the submitted documents, the APSA Ethics Committee, in its discretion, will decide whether to proceed with revocation procedures or to dismiss the request, subject to review of the Executive Committee.

a. If the Ethics Committee proceeds, the APSA Executive Director, in consultation with the APSA President, will appoint an Ad Hoc Revocation Panel comprised of three current Ethics Committee members and one current Council member. The Ad Hoc Revocation Panel will remain active until a recommendation has been made on the request. This work may continue past the end of an Ethics Committee member or Council member's term.

b. If the Ethics Committee, in its discretion, decides that the request should be dismissed, the committee must submit a statement to the APSA Executive Office detailing the reasons for their decision.

c. The APSA Executive Office will then submit its preliminary review, along with the committee's statement, to the Executive Committee for their review of the discretionary dismissal by the Ethics Committee. The Executive Committee, in its discretion, will review the documents and the original request and will make the final determination as to whether to proceed with revocation procedures or to dismiss the request. If the Executive Committee decides that the revocation should proceed, an Ad Hoc Revocation Panel shall be appointed as provided in 5. a. above.

6. The Ad Hoc Revocation Panel will define a timeline for the process. The Individual in question will be given notice of the request for revocation in writing, with the supporting documentation and the names of all Ad Hoc Revocation Panel members. The individual will be invited to respond in writing to the request, and if desired, to make an oral presentation to the Revocation Panel which will ordinarily occur via telephone or video conference. Such conference will not include any representatives of the Individual and will be limited in time and scope per the direction of the Ad Hoc Revocation Panel.

7. Once a response has been received and any presentation is concluded (or if the deadline for response has passed without reply), the Ad Hoc Revocation Panel will consider the original request, any responses, including the oral presentation/conference with the Individual, if any, and may also consider any other pertinent information of public or official record. The Ad Hoc Revocation Panel, in its discretion, will discuss and vote on a motion to recommend revocation. An affirmative vote of at least three of the four members of the Ad Hoc Revocation Panel is required for this motion to pass. The Ad Hoc Revocation Panel will also vote on a motion to recommend a timeframe for the revocation to be in effect, normally one, five, ten, or twenty five years. Unless otherwise specified by the Ad Hoc Revocation Committee, the revocation recommendation will apply to all of the following: membership, annual meeting and teaching and learning conference participation privileges, and leadership positions and privileges.

8. After the recommendation is made, the Ad Hoc Revocation Panel will provide a summary report, along with the materials reviewed, to the Ethics Committee and APSA Council. The report will indicate if the motion passed or not, but neither the vote tally nor the decisions of individual members of the Ad Hoc Revocation Panel will be included.

9. Once the report has been submitted to the APSA Council, the Council, via the Executive Committee, will define a timeline for the process for Council consideration of the recommendation of the Ad Hoc Revocation Committee. The Individual in question will be given notice of the request, with a copy of the Panel's report and the names of all the Council members. The individual will be invited to respond in writing to the request, and if desired, to make an oral presentation to the Council which will ordinarily occur via telephone or video conference. Such conference will be limited in time and scope per the direction of the Council, and take place in Executive Session. Once the report and any presentation is concluded (or if the deadline for response has passed without reply), the Council will discuss and vote, in its discretion, on whether to adopt, modify, or reject the recommendation in Executive Session. Per

the APSA Bylaws, a two-thirds vote of Council members is required to revoke membership. The Council minutes will indicate if the motion passed or not, but neither the vote tally nor the decisions of individual members will be recorded.

10. The APSA Executive Office and APSA President may determine, in their sole and exclusive discretion, whether there should be an announcement or publication of the decision to revoke the Individual's membership status, annual meeting or teaching and learning conference participation privileges, or leadership positions and privileges. In such circumstances, they may decide whether the background factors or bases for the revocation will be included in the announcement. The requestor will be notified of the Council's decision, independent of the decision regarding a public announcement.

11. Reinstatement:

A. New Material Evidence: After an individual's membership status, meeting privileges, or leadership positions and privileges has been revoked under the procedures of this Policy, should significant, material new evidence come to light that would call into question the conclusion to revoke membership status, meeting privileges, or leadership positions and privileges, the individual may request reinstatement. The process and procedure for reinstatement will be substantively equivalent to the procedure to revoke the individual's status, privilege, or leadership position or privilege. If the request for reinstatement is approved, the individual will be notified and reinstated immediately. The original requestor will also be notified of the reinstatement. An announcement of the reinstatement may be made in the appropriate venues and platforms, if the APSA Executive Office and President deem it appropriate.

B. Rehabilitation and Restorative Justice: Should the sanctioned individual consent to a mutually agreeable restorative justice action and/or other actions that address rehabilitation and remediation and such a process is possible given the underlying conduct, they may be eligible to have their membership status, annual meeting or teaching and learning conference participation, or leadership status and privilege reinstated, once rehabilitation or remedy is sufficiently demonstrated, but no sooner than one year since the decision of the Revocation Panel. Individuals subject to sanctions will be notified of this option, if available, at the time of the Revocation Panel's recommendation and receive additional details on request.

Proviso: The Ethics Committee will report on actions taken under this policy in an annual report submitted to the Council.

Proviso: For the first year, plagiarism as a form of scientific misconduct or serious breach of professional ethics is excluded from this policy.

Proviso: The Executive Committee will review this policy and bring forward to the Council not more than two years after the policy is in effect any proposed changes to this policy.

# POLICIES MANUAL

Cover sheet

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## APSA Awards Policy

NAME OF POLICY

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Posted on website (date): \_\_\_\_\_  Not applicable

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Awards Policy

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### Determining the Scope and Purpose of New Awards

New awards are proposed by individual members or the APSA leadership. The Executive Director asks Council to approve the creation of a committee that is charged with making a recommendation on the criteria for a new award. If Council approves the committee formation, the Executive Director and President work on appointing members and the committee then recommends a set of criteria for the new award. APSA staff then commence work on fundraising for the new award.

### Funding Plans

New awards are required to have a reasonable funding plan, including the possibility of no financial component for an award, and this will be shared with the new award committee at the time of the award creation. New awards do not automatically need their own endowment.

### Review of New Awards

All new awards include an automatic review of their name, scope and fit with APSA's mission and purpose every 10-20 years. A planned review provides the opportunity to assess the fit of the award with the Association's current priorities and needs, and keep awards current with trends in the discipline. The exact timing for the next review period would be set by the new award committee.

### Award Policy Review

A review of award amounts and recommendations for adjusted award amounts will be completed in 2018. This awards policy will be reviewed in approximately 2021.

# POLICIES MANUAL

Cover sheet

## Organized Section Handbook

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NAME OF POLICY

Approved by Council (date): August 3, 2022

Effective date: August 3, 2022

Replaces policy adopted (date): March 3, 2018  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): 5/12/2023  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 5/12/2023





*AMERICAN POLITICAL SCIENCE ASSOCIATION*

# ORGANIZED SECTION HANDBOOK

A resource for APSA organized section officers containing policies and procedures regarding the efficient operation of their sections.

Last Revised: May 2022

# INTRODUCTION AND ACKNOWLEDGEMENTS

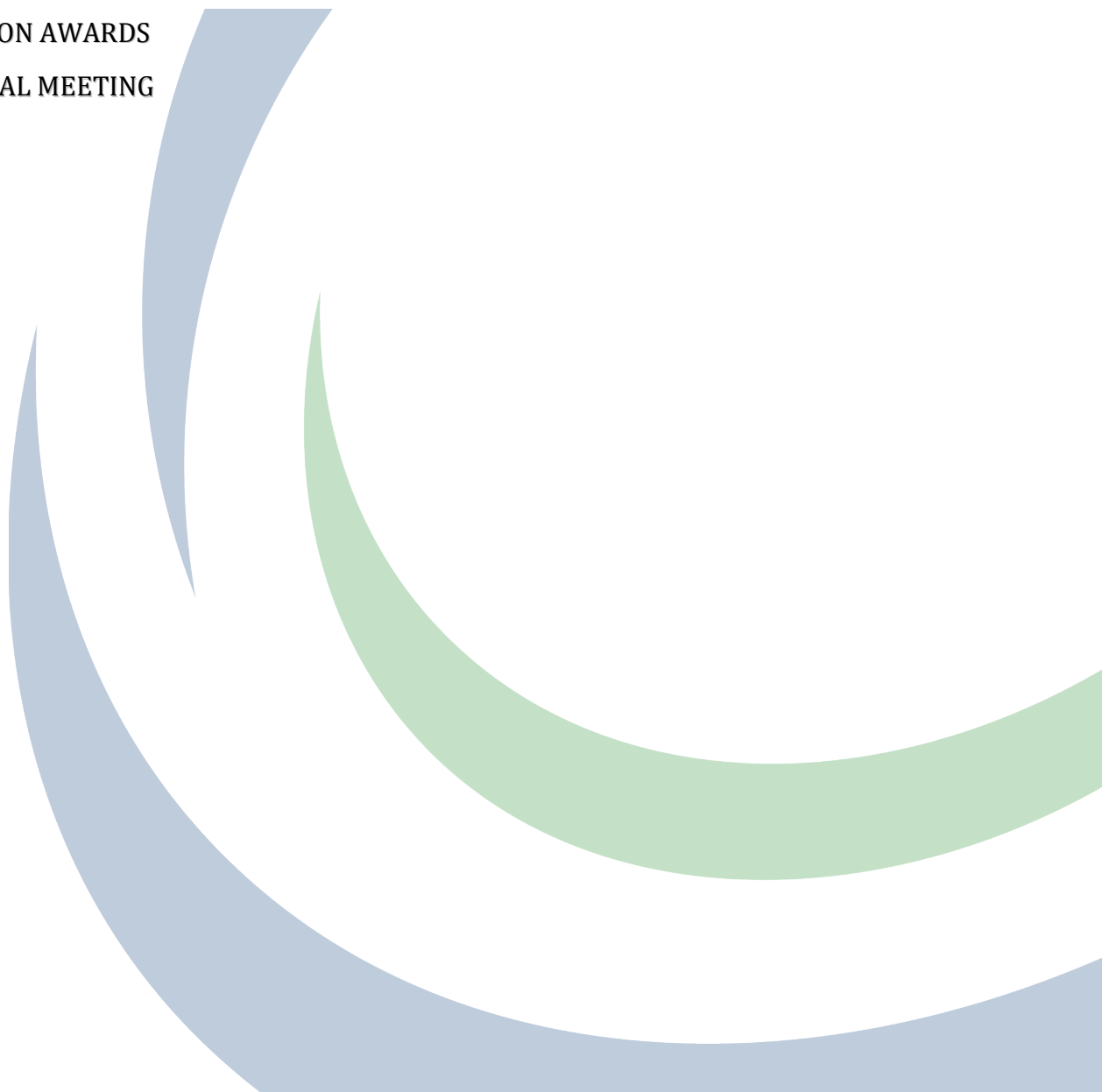
Welcome to the APSA Organized Section Handbook. This handbook was created to govern the activities of the organized sections and provide important information about organized section history and policies. The APSA welcomes feedback on this handbook which is also available on the APSA website. If you require additional information or have questions about the handbook, please do not hesitate to contact me directly at [charrigan@apsanet.org](mailto:charrigan@apsanet.org) or 202-483-2515.

This handbook reflects an extensive process of consultation among many individuals, including APSA staff, the organized section committee, section officers, the membership and professional development committee, and the APSA Council. We greatly appreciate everyone who helped bring this handbook to fruition.

Casey Harrigan  
Director, Member Services

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# I. HISTORY AND PURPOSE OF ORGANIZED SECTIONS

## A. Background

At its September 1981 meeting, the APSA Council approved, in principle, the establishment of sections of organized subfields within the association. Called Organized Sections, these groups became a formal component of the American Political Science Association in 1983 when the sections on Federalism and Intergovernmental Relations, Law and Courts, Legislative Studies, Public Policy, Political Organizations and Parties, and Public Administration were formed. In 2022, the APSA has 51 Organized Sections representing a wide range of sub-fields in the discipline including: legislative studies, comparative politics, health politics, migration and citizenship, and human rights. As components of the association, sections are accountable to its by-laws and to the APSA Council. More than half of all APSA members belong to at least one organized section and many belong to two or more.

## B. Role within the Association

Organized sections are a critical benefit of membership and a vital part of the association. Through participation in section activities, members can meet other political

scientists with similar research and teaching interests. Sections also provide an organizational vehicle to share research and best practices in the classroom. Moreover, many sections also organize meetings and workshops on behalf of its members. In addition, sections also provide valuable leadership opportunities for members and offer many awards that recognize excellence in teaching and scholarship in the section membership. Organized sections also sponsor panels at the annual meeting, offer important, peer-reviewed academic journals, and informative newsletters.

Overall, the association strongly believes that all members should strive to join a section that fits with their interests.

## C. Involvement in Annual Meeting

Organized Sections are an integral part of the planning of the conference content through their role in organizing panel and poster sessions, roundtables, and short courses in their respective sub-fields for the annual meeting. Through a formula based on attendance at section panels at the annual meeting and the number of paper submissions, panels are allocated to the respective sections. In 2017, the sections organized close to 1,000 panels for the annual meeting.

## D. APSA Committee on Organized Sections

The Committee on Organized Sections serves as a key liaison between the sections and the APSA Council and provides advice and

feedback to the APSA Council and staff. The Committee also considers applications for new sections and makes recommendations to the APSA Council.

The Committee meets as needed to review policies and practices involving sections and to make recommendations to the Council and staff. The Committee may also be asked by the APSA Council and staff for input on important APSA policies such as membership. A current list of committee members can be found on the web at: <http://www.apsanet.org/ABOUT/Leadership-Governance/Committees/Governance-Committees#OSC>

## II. APSA POLICIES REGARDING ORGANIZED SECTIONS

### A. GUIDELINES FOR APSA ORGANIZED SECTIONS

The following guidelines were created to assist officers in the governance of their section.

- 1) All organized sections operate under the authority of the APSA by-laws and APSA Council.
- 2) All members of the section must be members of the American Political Science Association.
- 3) Sections are required to adopt by-laws, which should be on file with the APSA Headquarters office. These by-laws should detail the procedures for an elected president or chair, an elected representative council or executive committee, and an elected or appointed treasurer. For more information, please refer to Chapter III.
- 4) *The role of the Section Treasurer.* This important responsibility includes the authorization of payments requests, review of non-dues revenue and auditing of the monthly financial reports provided by headquarters. The treasurer also works closely with the APSA Finance Office, since APSA Headquarters Office is responsible for the maintenance of section bank accounts. The treasurer must return a signed copy approving the September financial report by October 31st to the APSA Finance Office.
- 5) Sections must maintain the required membership of 200 members to remain active. See section VII relating to section review and oversight for a more detailed description of the implementation of this policy.
- 6) APSA is responsible for the collection of dues and the maintenance of section membership rosters. The association also supports the section through on-line communities through APSA Connect, including the creation of section microsites. APSA may also publish section news on the APSA website including PS NOW as well as *PS: Political Science & Politics*. For

more information about section communications, please refer to Chapter IV.

- 7) Sections are responsible for setting dues at levels that are financially responsible.
- 8) Annual meeting panels sponsored by sections will be part of the official meeting program.
- 9) Sections are legally part of APSA, thus, sections are required to receive Council approval for any public statement.

## III. SECTION ADMINISTRATION

### A. Nominating New Officers

APSA guidelines call for elected leadership, although some positions such as treasurer may be appointed.

### B. Planning Elections

Procedures for holding elections are set forth by individual section by-laws. APSA encourages sections to regularly rotate the leadership and committee membership of the section.

### C. Diversity and Inclusion in Leadership

APSA is committed to promoting and enhancing diversity and inclusion throughout the discipline. APSA encourages sections to

ensure leadership nominations that reflect and are inclusive of a variety of different characteristics and backgrounds of our members, including race, ethnicity, actual or perceived, gender, gender identity, sexual orientation, disability, region of the country, country of origin, employment status (tenure track, tenured, or non-tenured faculty), type of institution, and—as applicable—professional interest and methodological orientation.

Organized sections are urged to review the pattern of appointments over past years to assure that they have and continue to contribute to this diversity. APSA staff will provide sections with a demographic data report that includes access to an interactive data dashboard of APSA membership and all organized sections. Section leaders are encouraged to contact the organized section APSA staff liaison if they would like assistance on conducting a review or developing a diversity and inclusion strategy. Assistance may include development of a diversity and inclusion recruitment and retention strategy for members, developing a review of section or division chair leadership, leadership recruitment, and/or aggregate data on the demographics of section membership.

Information on APSA's diversity and inclusion programs and resources is located online at:

[www.apsanet.org/diversityresources](http://www.apsanet.org/diversityresources).

### D. Record keeping

Section record keeping is an important means of ensuring good governance, including supporting your next chair or section board during the section transition.

Some important records are kept at APSA headquarters, while others are maintained by the section officers and/or members.

Records that APSA generates and will make available to you include:

- a. Section rosters
- b. Aggregate reports on section membership, including long term membership trends and demographics
- c. Journal contracts
- d. Financial reports

Records or documents that you generate, but we will keep on file include:

- a. Section by-laws
- b. Chairs report
- c. Annual names and contact information for award committees and award winners
- d. Websites and website passwords (optional)
- e. Minutes from section leadership or business meetings (if required by section by-laws)

Records or documents that you may generate, and we ask that you archive according to your own needs include:

- a. Newsletters
- b. Webpages and web passwords

We request that sections submit updates to by-laws, award committee information, and a copy of the chair's report of the year to APSA no later than October 1. The chair's report should be a brief (1-2 pages) narrative of the main section activities and initiatives from the prior year, including any major changes

to section by-laws or governance. Its main purpose can be to inform current and future members about section business, and it may be a complement to or in lieu of newsletters or other official records of section business.

Award winner information should be shared in the spring. APSA headquarters maintains complete records of section membership data and by-laws.

For any other records, sections should develop their own policies for archiving and should notify APSA of the archive's location (e.g., on a university repository, external website, etc.).

## E. Managing Leadership Transitions

APSA encourages sections to establish guidelines to facilitate the smooth transition of leadership. We will provide chairs with a complete report of all records that APSA keeps at the start of every term, including historical section information, prior year chairs report, membership data, financial reports, and journal updates each year at the Section Business Meeting or at the Organized Section Officer Breakfast. We also encourage outgoing chairs to gather and share any additional information pertinent to the administration of that office such as website access and passwords. An informal transition meeting or time to talk through the section information can be an easy way to ensure continuity in section administration.

Additionally, the APSA Membership Department has compiled an Organized Section Chair Orientation Manual which is designed to be a reference guide for section chairs throughout their official terms.

## F. Keeping By-Laws Current

Organized sections are required to have by-laws, and to provide the association with updated versions by October 1. APSA collects current by-laws from sections and will circulate its collection to sections upon request. To receive copies of sample by-laws or the by-laws of a specific section, please contact Casey Harrigan, Director of Member Services at [charrigan@apsanet.org](mailto:charrigan@apsanet.org).

## G. Reporting New Officers, Dues, Awards Committees, and Award Recipients

APSA maintains a roster of all section officers, which is posted on the APSA website and published annually in *PS: Political Science and Politics* following the annual meeting. It is the responsibility of section leadership to keep this data current throughout the year. Changes in dues, names, and institutional affiliations of new officers should be submitted in writing using the Organized Section Update Form to the organized section liaison at: [membership@apsanet.org](mailto:membership@apsanet.org) no later than October 1.

### **Information Due by October 1:**

- Names and full contact information of new section officers.
- Updates to details on awards to be given in the next year, including deadlines, submission information, eligibility, and award committee members.
- Journal/newsletter details including title; editor; frequency; print, online, or other delivery; and costs to member.
- Any changes in web addresses.
- Any changes to the section by-laws

The section update form can be found [here](#).

## H. Member Services

The APSA Staff can assist individual sections in recruiting new or retaining existing members by providing up-to-date information on its membership and their

interests including member email addresses. Ideas for enhancing services for members include welcoming new members, communicating section activities via the APSA newsletter and the new member orientation email series, and contacting lapsed members. This office welcomes feedback from members and suggestions for how to involve new members in section activities.

## I. Membership Dues

Dues are a major source of revenue for organized sections. Membership for sections runs concurrently with APSA membership. A member's section affiliation from the past three years will be bolded on their membership renewal form, and section affiliation in the past year will be preselected, so he/she may easily renew their section membership along with their association membership.

Collected dues are transferred to section accounts on a monthly basis.

## J. Membership Lists

Section chairs have online access to the section's current membership list. Chairs may download the up-to-date roster from the APSA website as needed. Sections can use this feature to generate and send important section information to their members only. See Section V, paragraph F for more information on administration of journal member rosters.

Membership lists that section officers pull should only be used to facilitate communication with section members for section related announcements only. This list

should not be shared, sold, rented, or traded. For more detailed guidance on list usage, please see the APSA Connect terms of service and/or guidance for use of member lists, which can be found here:

<https://connect.apsanet.org/terms/>

# IV. SECTION COMMUNICATION

## A. Newsletters

Many sections regularly publish a newsletter as a service to members. Unless otherwise stated, it is assumed that the authors of individual essays or contributions own the copyright.

## B. Online Section Communities

APSA's online community platform, APSA Connect, allows all sections to create online communities and establish section websites. Functionality around these websites can include discussion forums and document libraries. Recent improvements in APSA Connect also significantly increased functionality and introduced far easier access and usage. Sections should contact Dan Gibson, APSA Sr. Director of Communications at [dgibson@apsanet.org](mailto:dgibson@apsanet.org) with any questions about APSA Connect.

All section website content must be consistent with APSA's policies and procedures on the proper use of websites, which can be found at [www.apsanet.org/Terms](http://www.apsanet.org/Terms).

# V. SECTION JOURNAL AFFILIATIONS

Many sections provide journals as a benefit and service to members and the discipline. Seventeen sections have affiliated journals published under various types of publisher agreements. For sections interested in adopting a new journal, three main routes exist: 1) establishing a new journal; 2) sponsoring/editing an existing journal; and 3) providing section members with subscriptions to an existing publication.

APSA is legally and financially liable for all organized section contracts for any journal contracts entered into by an organized section, therefore all contracts must go through APSA Headquarters and outside legal counsel if necessary.

Through this process, sections will obtain the maximum financial benefit from their journal contracts as well as preserve their flexibility to make changes to these contracts as their priorities change. This process is designed to provide direct financial and programmatic benefits to the sections and encourage more diversity in our publishing portfolio.

## A. Establishing a New Journal

When an organized section plans to publish a new journal, a proposal must be submitted to the APSA Publishing Director, which is then reviewed by the Publications Policy Committee of the Council. If approved, the proposal then goes to the Executive Committee and the APSA Council for final approval.

The proposal for a new journal must address key issues including, but not limited to:

- Rationale/need for new journal
- Procedures for editorial succession
- Financial feasibility (proposed cost)
- Ownership and copyright
- Membership benefit/risks
- Peer-review procedures
- Publisher considerations

Any questions that might arise with the Council on these issues need to be fully addressed with APSA and the Executive Committee before a contract can be considered. The APSA Executive Director should be a party on all legal documents, including journal publishing contracts and editorial agreements, and all documents must be on file at APSA headquarters.

## B. Partnerships with Publishers

There may be circumstances where a section has a partnership with a publisher that is unofficial or has not been documented in any agreement. Such instances include publishers providing free electronic access for a limited time to section members or saying journals are published in partnership with a section. In either case, it would be best to alert the APSA Publishing Director. They can be of assistance with setting up seamless IP access and, if desired, converting one of these arrangements into a more formal partnership. In such cases, it would be best not to refer to journals as “the official journal of” the section. Rather, “published in association/partnership with” should be used. For any arrangement where there is a financial transaction (paid or received) from

a publisher, there must be a contract in place signed by the APSA Executive Director.

## C. Affiliations between Journals and Organized Sections

In linking to an established journal as a benefit to section membership, APSA has fiduciary responsibility to the section and should be party to contract negotiations and a signatory to all such agreements following legal counsel review.

The Committee on Organized Sections has general guidelines that must be followed if the Organized Sections considers establishing formal linkages with a journal published by another organization.

The criteria include:

1. The journal is a peer-reviewed academic journal. The Organized Section Committee requires that the section provide a clear academic rationale for the proposed linkage prior to approving the proposed linkage. This information includes the academic standing of the journal in the section's field and the benefits provided to section members.
2. If the journal is an independent journal that already exists the committee strongly recommends that the journal have or adopt a policy of editorial rotation. In the case of independent journals, the committee also strongly recommends that section members are represented on the journal's editorial board.
3. If the organized section's linkage to the proposed journal will result in a significant increase in section membership dues, the committee strongly recommends that the

section assess the impact that increased dues will have on:

- a. student membership numbers,
- b. international membership numbers,
- c. general section membership numbers (particularly for smaller sections that may be close to minimum number of members required for the continuation of the section).

## D. Sponsoring a Journal

In addition to starting and editing a new journal to share with section members, organized sections may consider "sponsoring" a new or existing journal. As a sponsor of the journal, the organized section provides editorial content, editorial oversight, and agrees to work within standard parameters of the peer-review process and standard publication/publishing practices. Like a proposal for a new journal, a proposal to sponsor a journal must identify the key issues, including rationale, financial feasibility, and member benefit/risks. It should also be shared with the APSA Publishing Director. The Executive Committee will review these proposals and if approved, APSA Executive Director should be a party on all legal documents, including journal publishing contracts and editorial agreements. All documents must be on file at APSA Headquarters.

## E. Offering Subscriptions to Journals

Often organized sections offer their members subscriptions to journals of interest to the subfield as part of a membership benefit.

These journals can be published by other societies or publishers. The organized section is not responsible for editorial content or oversight. Prior to entering into an agreement, the section should provide a proposal to the APSA Publishing Director, who will share with the Executive Committee. The Executive Committee will review the proposals, and if approved, the APSA Executive Director should be a party on all legal documents, including journal publishing or subscription agreements. All documents must be on file at APSA headquarters.

## F. Administration of Journal Member Rosters

The section chair, secretary or editor is responsible for requesting the current membership roster from the APSA Membership Department, who will in turn send directly to the journal publisher, along with any cover sheet or other reporting tool required by the publisher. Note that publishers need current membership rosters for both journals in print and online to maintain the integrity of the member benefit.

# VI. SECTION FORMATION

## A. Forming a New Section

To propose a new organized section, the organizers must submit an application to the APSA Headquarters. The application consists

of the proposed section's name, purpose, and draft by-laws. It should be accompanied by a petition signed by 200 current APSA members. The petition must include the statement, "Creating a new APSA Organized Section will likely reduce the number of panels that are available to pre-existing sections at future APSA Annual Meetings."

The proposal must provide specific examples of how the new section will differ from the existing sections, how it will contribute to the intellectual community within the association, and a narrative of consultations with chairs of closely aligned, pre-existing sections, regarding the development of the new section, including any letters of support. If the new section proposes to include a journal subscription, bestow awards, or collect dues, this information should be included as well.

Once the proposal is received, it will be shared with current Section Chairs for a 30-day open comment period.

The Organized Section Committee will review all applications and make a recommendation on whether the new section should be formed. In doing so, they may ask proposal organizers for further information on any of the above criteria. The proposal, along with the recommendation of the Organized Section Committee, will be placed on the agenda of the next meeting of the APSA Council. Any new organized section that is approved by Council will be allocated space for organizational meetings during the annual meeting of the same year, and allocated panels for the following year (for example, applications approved in the spring of 2022 would be allocated a business

meeting slot at the 2022 Annual Meeting, and panels at the 2023 Annual Meeting.)

## Proposal Guidelines in Brief

Proposals should include the following information and should be sent to Casey Harrigan, Director of Membership:

- The name of the section.
- The purpose or mission of the section.
- A narrative providing specific examples of how the section differs from existing groups, and how it would enhance the intellectual diversity and community at APSA.
- A narrative of consultations with pre-existing Organized Section Chairs from related sections. Letters of support are encouraged.
- A petition to form the section signed by 200 current APSA members. The following language is required to be included on all petitions: “Creating a new APSA Organized Section will likely reduce the number of panels that are available to pre-existing sections at future APSA Annual Meetings.”
- Draft by-laws. Sample by-laws are available from the Membership Department.
- Proposed initial section officers or plans for running an election to select officers upon adoption of the section.
- If applicable, any proposed journal partnerships or contracts that would be affiliated with the section at its launch.

- If applicable, any proposed awards that would be given by the section at its launch.
- If applicable, proposed section dues.

## VII. SECTION REVIEW AND OVERSIGHT

The APSA staff and Organized Section Committee review the role of sections in the association on an ongoing basis. Any organized section that falls below 200 members for three consecutive years will have its status suspended. Its existing members will have the opportunity to transition to another organized section, related group, or working group and reapply for organized status one year after the suspension. APSA will notify all organized sections of their status every year.

## VIII. SECTION FINANCES

Organized section treasurers are responsible for managing section funds, which include the authorization of payment requests, review of non-dues revenue and auditing of the monthly financial reports provided by the National Headquarters office.

## A. Maintaining Checking Accounts

APSA's auditors require that all section funds are held in a checking account with Bank of America in Washington, D.C., under the association's tax identification number.

Sections are expected to use the checking account for their funds, including any they might raise in addition to dues. Sections with surplus funds may choose to transfer funds from the checking account into CD's or other investment vehicles approved by the investment committee.

## C. Payment Process

All section payments will be processed from the APSA Headquarters Finance Office.

To request a check payment, section treasurers must provide authorization and submit the following documents to:

[finance@apsanet.org](mailto:finance@apsanet.org):

1. Check request form
2. Invoice, detailed receipt, or other supporting document
3. W-9/W-8BEN form completed by payee

APSA requires all three items to process check payments. These forms can be found at: [www.apsanet.org/MEMBERSHIP/Section-Membership-FAQs/For-Section-Officers-and-Organizers](http://www.apsanet.org/MEMBERSHIP/Section-Membership-FAQs/For-Section-Officers-and-Organizers)

To request a wire transfer, section treasurers must submit and approve an "outgoing wire request form" along with the appropriate invoice and/or detailed receipts, and a completed form W-9/W8BEN. Bank fees

associated with the wire transfer will be charged to the section expense account.

Invoices received from a third party for payment from a section will not be processed until authorization has been received from the treasurer.

## D. Checks Received

Checks received for a section treasurer or third party vendor are deposited directly into the section bank account. The finance department will notify the section treasurer about the deposits.

## E. Financial Reports

Sections will receive monthly financial reports from the National Headquarters office. Treasurers must return a signed copy approving only the September financial report by October 31 to the finance department.

## F. Holding a Restricted Fund with the APSA Trust and Development Fund

If an organized section wants to establish an a restricted fund for the purpose of bestowing cash prizes for awards, travel grants, research grants, or other related purposes, APSA will assist by aiding in the management of funds. The Executive Committee of the Council is responsible for the oversight of all restricted funds. The following guidelines have been developed for handling section award funds:

Section restricted funds are managed in conjunction with other APSA endowed award

funds. Organized sections should recognize that while these funds are invested prudently, the investment portfolio may include equities and other investments which carry a potential risk of loss of capital.

APSA will issue one check per year, per section from the restricted fund, in response to a specific request from the organized section chair, and will provide an annual accounting report of the fund balance at that time.

If a section wishes to start a new restricted fund, reach out to APSA staff first to create a statement of purpose for the fund and develop supporting administrative procedures to ensure good stewardship of donor funds. Typically this includes a 1-2 page statement of the funds purpose, the annual draw amount, the process for selecting awardees, and rules for disbursement. Contact APSA development staff at [awards@apsanet.org](mailto:awards@apsanet.org) for support with this function, establishing online giving, and other fundraising assistance.

The APSA Finance office will report regularly to organized sections listing contributors and amounts; APSA staff will also send a letter to the donor acknowledging the donation for tax purposes.

## IX. SECTION AWARDS

Recognizing excellence in the profession is one of the most important activities of the American Political Science Association. To

bring attention to exceptional scholarship, many sections have established awards. Currently, there are more than 180 such awards honoring dissertations, papers, articles, books, and career achievement. Some of these awards are named to honor the work of a specific scholar; others simply reference the nature of the award.

### A. Establishing awards

A section may create an award to honor the work of a political scientist within its subfield. When selecting a political scientist to honor, the APSA awards staff ([awards@apsanet.org](mailto:awards@apsanet.org)) can provide you with a list of all APSA and section awards named after political scientists, to cross-check duplicate awards being named after the same individual. Where possible, sections should secure permission from the individual, or their estate, in using the individual's name for a new prize. Although the procedure of creating a prize may be set out in individual section by-laws, certain items should be included in the process, for instance its purpose, nomination and selection procedure, eligibility requirements, decisions on cash prizes including if supported by section dues, regular donations or external sponsors. After an award has been created, the section should forward this information to APSA Headquarters so that it can be used to update our records.

### C. Selecting Award Committees

The process for selecting section members to serve on award committees is governed by the individual by-laws of each section.

Sections are encouraged to nominate award committee members on or before their annual business meeting held at the APSA Annual Meeting, as this information is due to APSA Headquarters on or before October 1.

## D. Notifying Department Chairs to Get Books or Papers for Review

Section book awards will be made available on the APSA website and in the January issue of *PST*. Department chairs will be given a list of each section's dissertation awards. This information about association and section awards is sent to publishers and department chairs in early October.

## E. Announcing Section Awards

Section award recipients are listed annually in the October issue of *PS*, as well as in a special section of the annual meeting final program, and on the APSA website. Presentation of section awards usually takes place at organized section business meetings or receptions during the annual meeting. To ensure section award recipients are included in the annual meeting program, the name, institutional affiliation of the winner, as well as the title of any publication (if applicable), must be submitted to Casey Harrigan, Associate Director of Member Services at [charrigan@apsanet.org](mailto:charrigan@apsanet.org) by June 15.

# X. ANNUAL MEETING

## A. Selecting a Program Chair or Division Chair

Divisions are groups that organize panels for the annual meeting. They are allocated panels based on current year submissions and previous year attendance. Some divisions included in the annual meeting program are associated with an organized section. Others are not. For the former type, the organized section should select—often as part of its selection of officers—a section member to serve as “division chair”. APSA Headquarters will request information on division chairs in May of each year (i.e. May 2017 for the 2018 Annual Meeting) with a deadline in July of each year. Full names, institutional affiliations and contact information will be required at this time, as work will begin on the following year's meeting in mid-July.

For the latter type of division, the current year's division chair will designate the future year's division chair. All division chairs, regardless of the means by which they are selected, should attend the Annual Meeting Division Chair Breakfast (at which planning for the next year's meeting occurs).

The individual will work with the annual meeting program co-chairs to review paper and panel proposals to their division; construct sessions to meet the division's program allocation; identify chairs and discussants; and make revisions to their panels and sessions as necessary.

The division chair's responsibility spans more than a year, beginning with submitting the division call for papers, and culminating with the annual meeting. Division chairs should expect to receive and respond to regular requests from the program co-chairs

for submission review, theme panel nominations, panel co-sponsorships, and the filling of program vacancies. They will receive a Division Chair Handbook in the fall, which will outline responsibilities, guidelines, and best practices.

Under Council rules, an individual who has served as chair for any division may not do so again for more than three consecutive years. More generally, sections are expected to rotate responsibility for organizing their panels to ensure the widest possible representation of perspectives and methodologies. APSA also strongly encourages sections to ensure that division chair appointments reflect the variety of different characteristics and backgrounds of our members, including but not limited to race, ethnicity, actual or perceived, gender, gender identity, sexual orientation, disability, region of the country, origin of country, employment status (tenure track, tenured, or non-tenured faculty), and type of institution.

## B. Meeting Timetable

Submission review typically begins in mid-January. Complete panel construction for the annual meeting preliminary program is due by the end of February. Proposals for short courses are due at the same time as the proposal submissions. A second wave of panel construction activity will occur in early April, after members are notified of their accepted proposals and are then required to indicate their participation and confirm their roles based on the participation rules. At this point, division chairs may have to replace presenters, paper, session chairs and/or discussants.

Revisions to the preliminary program are due at the beginning of May and revisions to the final program are due at end of June. A timeline of these activities and deadlines is provided to division chairs at the Division Chairs Breakfast at the annual meeting each year.

## C. Scheduling a Business Meeting or Reception at the Annual Meeting

Most Organized Sections choose to hold a business meeting or reception at the annual meeting. Complimentary rooms are available upon request to the APSA Meeting Department. Catering and day preferences can be selected on the affiliated event application, typically due by the end of March, and available on the annual meeting website.

Sections proposing to host events with food and/or beverage at the annual meeting must have sufficient funds in their section cash accounts to cover the cost estimate for the event(s) before they are approved.

## D. Organizing a Short Course

Short courses are a great opportunity for members to enhance their knowledge about a field and to reinvigorate their teaching and research. Short courses are scheduled for the Wednesday before the annual meeting.

In order for a short course to be part of the Wednesday program, proposals should be submitted within the proposal submission system. The short course deadline is the same date as the overall call for proposals and is part of the submission system process.

## D1. Additional Guidelines

Online pre-registration is required for all attendees. Program participants must register in early June to keep their place on the program.

Short courses are only for annual meeting attendees. In order to attend short courses, individuals also must be registered for the annual meeting.

Each course will carry a registration fee, separate from the annual meeting registration fee. All registration fees will be applied to the audiovisual bill to partially offset the costs of running them on Wednesday.

Short course attendees must check-in onsite at the main conference registration desk for their badge.

## D2. Selecting Topics and Securing Appropriate Leaders

Short course conveners are encouraged to develop courses that will engage not only members from their section, but also scholars from across the subfields. Topics range widely and may involve new teaching techniques, technologies, or research methodologies. APSA also encourages sections to look at the professional development needs of their members.

Sections should begin the process of securing short course leaders or participants early. Short course descriptions, agendas and presenters will be published in the preliminary program in May, as well as in the final program.

Sections are encouraged to contact the APSA professional development staff for new ideas and suggestions.

## D3. Equipment and Other Special Arrangements for Short Courses

Each short course will have complimentary access to the standard room equipment and room set-up for panels at the Annual Meeting. Sections will be responsible for pre-payment of any additional costs, including, but not limited to: catering, additional equipment, and non-standard room set-ups.

## D4. Publicizing Short Courses

Short Courses are listed in the APSA's Preliminary and Final Programs, and full details are available on the Annual Meeting website. They will also be part of APSA's conference promotions to members via email. Sections are encouraged to advertise their courses in newsletters, on web sites, and on electronic lists in advance of the meeting.

# POLICIES MANUAL

Cover sheet

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## Policy on Related Groups

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NAME OF POLICY

Approved by Council (date): August 28, 2019

Effective date: July 15, 2020

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): 2020  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

\_\_\_\_\_

Executive Director

Date completed: 6/27/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Policy on Related Groups

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### **Membership Requirement**

This policy establishes an ongoing membership requirement for Related Groups. As is the case for Organized Sections, APSA members will sign up as members of Related Groups each year. This will allow APSA to keep track of ongoing interest in the Related Groups and ensure an ongoing link between Related Groups and APSA membership. The required number of members will be set at thirty-five, and the level required for the creation of a new Related Group will also be set at thirty-five. APSA members will be able to sign up as Related Group members when they renew their APSA membership, or they may add Related Group membership separately. Like membership in Organized Sections, Related Group membership will run concurrently with APSA membership. To support the maintenance and administration of Related Groups, a nominal (\$1-\$2) administrative fee for membership will be instituted three years after the policy goes into effect, subject to review by the Meetings and Conferences Policy Committee at that time.

### **Panel Allocation**

The policy matches the allocation formula for Related Groups to match that for Organized Sections. Thus, Related Group panels would be allocated 80% on the basis of attendance at the previous year's meeting and 20% on the basis of submissions for the current year's meeting. Rewarding Related Groups for generating more submissions will help make Annual Meeting programming by Related Groups less top-down and more member-led.

In addition, this policy caps the overall panel allocation available to Related Groups at 11% of Division panels. The overall number of related group panels is determined as a percentage of the total number of division panels, equal to the percentage of total attendance Related Group panels contributed in the previous year, with a cap of no more than 11%.

### **Review Mechanisms**

This policy also introduces two review mechanisms for Related Groups. First, the creation of a Related Group will require review and approval by Council. In addition to a statement of need and a petition with thirty-five signatures, potential Related Groups will be required to submit simple bylaws outlining the future operation and leadership of the group. The Council will review these materials and vote to approve the Related Group before it can receive panel space at the Annual Meeting and other APSA support.

In addition, Related Groups will be subject to ongoing review by Council based on their maintenance of the required membership numbers. Just as Organized Sections are subject to review and potential dissolution if they fail to maintain a membership of at least 200 for multiple consecutive years, Related Groups will be subject to the same process if they fail to maintain a membership of at least 35. To help encourage ongoing member engagement and to compensate for the additional efforts required of related groups, access to APSA Connect and APSA-hosted websites will be included as a benefit of Related Group status.

This table summarizes the configuration of benefits for Organized Sections and Related Groups.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Policy on Related Groups

**Table. Proposed configuration**

Group	APSA Governance documents	Meeting panels	APSA Connect group	Web site hosted by APSA	Member-ship base required	APSA bank accounts	Make Awards	Publications
Organized Section	APSA Bylaws, OS Handbook, section bylaws	Yes	Yes	Yes	Yes – 200 annually	Yes	Yes	Journals or newsletters
Related Group	APSA Bylaws, group bylaws	Yes	Yes	Yes	Yes –35 annually	No	Not APSA-sponsored	Not APSA-Sponsored
Other Associations and/or non-profits	Bilateral MOUs or Institutional Memberships	Yes (reciprocal)	No	No	No	No	Not APSA-Sponsored	Not APSA-sponsored

### Alternative Arrangements

For some potential Related Groups, alternatives to creating group bylaws and establishing a member base may be a better choice. In general, groups may choose for themselves whether developing a stable member base makes sense or if another approach would be a better fit. Possible alternatives include:

#### Institutional Membership

An Institutional Membership allows a library, research institute, think tank, embassy, or nonprofit organization to join APSA as an organization. Institutional Members benefit from participation and networking at the Annual Meeting, eJob postings and discounts on registration and individual membership. Annual membership is twelve months, beginning the date of activation. Dues range from \$990-\$1750 per year. More information is available at <http://apsanet.org/institutional-membership>. Institutional Membership does not currently include panel allocations at the Annual Meeting.

#### Annual Meeting Working Groups

An Annual Meeting Working Group consists of a small group of meeting attendees who are interested in a common topic and who agree to attend panels and plenary sessions aligned on a similar topic. They convene at the meeting for discussion. The idea is to simulate a working group conference experience amid APSA panels. A list of 2018 working groups is available at <https://connect.apsanet.org/apsa2018/working-groups/>. While Annual Meeting Working Groups organize themselves around panels at the Annual Meeting, they do not receive their own panel allocations.

#### Memoranda of Understanding

APSA has memoranda of understanding with a variety of international and regional political science organizations, including the International Political Science Association (IPSA) and International Conference on Public Policy (ICPP), which include reciprocal benefits. These benefits vary but may include a panel allocation at each organization's conference, program advertisement space, and

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Policy on Related Groups

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complimentary exhibit booth space. Memoranda of understanding are bilateral and open to other nonprofit associations with a definable member base.

In general, all external organizations, unless they chose to form a Related Group under these new terms, would need to purchase an Institutional Membership or would require a standard MOU outlining any standing arrangements or reciprocal agreements.

### **Transition**

During the transition to this new policy, existing Related Groups will retain their status and will have a one-year period from the implementation of this policy to amass the required Related Group membership. Existing Related Groups will also have the same timeframe in which to develop and submit group bylaws in accordance with this policy. All new Related Groups will be required to comply with this policy before they are approved.

The effects of this policy will be monitored throughout its implementation, but the policy will undergo a formal review by the Meetings and Conferences Council Policy Committee three years after it goes into effect. The Committee will use that opportunity to review the effects the policy has had on the number and composition of Related Groups, as well as their level of engagement, to ensure that Related Groups are still serving the various functions for which they have been created in the past. At that time, the Committee will also consider whether to introduce a nominal administrative fee for membership in Related Groups. Any changes recommended by the Committee at that time, including the introduction of a nominal membership fee, would require Council approval and provide sufficient notice to Related Groups prior to their implementation.

### **Implementation**

This memo indicates proposed changes to APSA policy on Related Groups, but these changes will require a more detailed implementation plan before they go into effect. This will include making the database changes necessary to monitor Related Group membership and harmonizing the changes to the Related Group panel allocation formula with the larger panel allocation formula. These details and an official implementation date will be confirmed at the spring 2020 APSA Council meeting. The target date for implementation is summer 2020, with panel allocation changes taking effect for the 2021 Annual Meeting.

*At the April 2020 Council meeting, the APSA Council approved an implementation date of July 15, 2020*

# POLICIES MANUAL

Cover sheet

## Rules for Revision of the Policies Manual

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NAME OF POLICY

Approved by Council (date): August 30, 2017

Effective date: August 30, 2017

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

\_\_\_\_\_ Title

Posted on website (date): \_\_\_\_\_  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Steven Rathgeb Smith

Executive Director

Date completed: 2/15/2018

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Rules for Revision of the Policies Manual

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Article IX, section (2) of the Bylaws of the Association provides that the Rules and Elections Committee “reviews the Policies Manual and may recommend to the Council additions, deletions, and modifications” (subsection (b) (3)).

- I. The Rules and Elections Committee may consider suggestions for additions to or deletions from the Policies Manual or for revisions to existing policies at any meeting. Such suggestions may be made by members of the committee, by members of the Council, and by members of the Association. Members of Council and Association staff will inform the Chair of the committee of any suggestions they receive from members of the Association.
- II. The chair of the Rules and Elections Committee will place on the agenda for each meeting of the committee all pending suggestions regarding the Policies Manual. For each, the committee may:
  - a. Decline to take any further action;
  - b. Draft or revise a complete statement of the proposed new or revised policy or a rationale for the deletion of a policy; the committee may then:
    - i. refer or re-refer the proposal to a Forum for member discussion as described in section III of this policy; or
    - ii. transmit the proposal to the President of the Association for action at the next meeting of the Council. (If the next meeting of the Council will take place in less than two weeks after receipt of the proposed text by the President, action may be deferred until the following regular meeting or the President may convene a special meeting (as provided in Article V, section 7 of the Bylaws).)
- III. If the committee creates a forum for the membership of the Association to discuss the proposal prior to further consideration by the committee.
  - a. The Executive Director will announce the forum to the membership and invite participation.
  - b. Discussion in the forum will be scheduled to end before the next meeting of the committee.
  - c. At the next meeting, the committee will hear the report of the forum and consider the proposal as describe in section II of this policy.
- IV. Upon receipt of a proposal concerning the Policies Manual from the Rules and Elections Committee, the President will place a first reading of the proposal on the agenda of a future meeting as described in section II of this policy.
  - a. At the start of consideration of the proposal, the Chair of the Rules and Elections Committee may provide any background or rationale which may be useful to the Council and answer any questions from members of Council.
  - b. After discussion, the Council may:
    - i. place the proposal on the agenda for a second reading and decision at the next Council meeting;
    - ii. dispense with a second reading and proceed immediately to consider amendments to the policy and, following such consideration, vote to accept or reject the proposal; or
    - iii. return the proposal to the Rules and Elections Committee for further consideration as described in section II of this policy.

# AMERICAN POLITICAL SCIENCE ASSOCIATION

## Rules for Revision of the Policies Manual

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- V. The Rules and Elections Committee may reconsider a proposal for a change in the Policies Manual which has been rejected by the Council and, as provided by sections II and III of this Policy, refine and resubmit it to the Council.
- VI. Unless otherwise specified by action of the Council, changes to the Policies Manual take effect immediately upon adoption by the Council and either replace the revised section or are added to or deleted from the Policies Manual at that time. If the Council specifies a later effective date, the revision takes effect on that date.
- VII. Each policy contained in the Policies Manual is accompanied by a Cover Sheet recording the Council's action, the effective date of the change, and the Executive Director's approval of the text for addition to the Policies Manual. (The format for the Cover Sheet is included in the Policies Manual.)
- VIII. Subsequent to the effective date, all copies of the Policies Manual in both printed and electronic form include only the revised policy as approved by the Council.

# POLICIES MANUAL

Cover sheet

## Council Confidentiality Policy

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NAME OF POLICY

Approved by Council (date): September 4, 2024

Effective date: September 4, 2024

Replaces policy adopted (date): \_\_\_\_\_  None (new policy)

Text and above details confirmed: \_\_\_\_\_ Signature

Executive Director Title

Posted on website (date): \_\_\_\_\_  Not applicable

Distributed to (list): APSA Council

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More – see reverse for complete list

Approved for distribution and inclusion in Policies Manual:

Kimberly A. Mealy

Executive Director

Date completed: 10/10/2024

## **APSA Council Confidentiality Policy and Agreement**

As the APSA Council is the nonprofit governing board of the Association and legally directs the Association in its corporate capacity, Council members and officers have fiduciary duties of loyalty and care. These duties include the obligations of maintaining the confidentiality of proprietary, privileged, confidential, or nonpublic information and materials that relate to APSA (“Confidential Information”) and of refraining from using themselves or disseminating Confidential Information to others, except other APSA Council members and authorized APSA employees, unless the Council member or officer has been authorized to do so by the Council or compelled by legal process. Confidentiality is a key part of Council member and officer fiduciary responsibilities and is critical to protecting the interests of the organization.

Under the principle of transparency, APSA Council meetings, like many nonprofit board meetings, are open to the public and public minutes are published. Most APSA business is conducted openly. However, Council members and officers may have access to Confidential Information during the course of their service on the APSA Council (including their service on APSA Council Policy Committees or the Executive Committee) and the Council may wish to discuss certain matters privately. The Council may go into executive session during these portions of the discussion.

APSA Council members and officers must maintain the confidentiality of all Confidential Information. Accordingly, Council members and officers agree, as acknowledged by their signature below, to keep confidential, during and after their service on the APSA Council, all Confidential Information, which includes, but is not limited to:

- Any personal or nonpublic information about APSA members or fellow board members
- Strategic and financial information and plans not otherwise publicly available (i.e. specific financial information about APSA not typically included in IRS 990 forms, treasurer’s reports, annual reports, or similar; and strategic information not typically included in strategic plans, presidents or executive director’s reports, annual reports, or similar)
- Legal advice or communications, discussions with counsel, risk management plans, litigation, or discussions of potential litigation
- Contracts with vendors
- Contract terms for the provision of services
- Personnel matters including employee discipline, employment contracts, or performance or compensation matters
- All other items (whether verbal or in print) of interest that are brought before the Directors and expressed in confidential or nonpublic terms.

The organization will try to specifically note which information, analyses, reports, communications, other materials and associated Council discussions/deliberations are Confidential Information. However, Council members and officers are expected to exercise reasonable caution, prudence, and common sense in determining what constitutes Confidential Information. Any information discussed in executive session should be presumed to be Confidential Information. Any information discussed with legal counsel present should be presumed to be Confidential Information. Questions about what is Confidential Information should be directed to the APSA President and Executive Director.

The obligation of confidentiality requires not sharing or discussing Confidential Information with individuals who are not part of the APSA Council or who are not APSA employees who have been authorized access to the Confidential Information, refraining from making statements to the media or to any member of the public without prior authorization by Council, and exercising caution in handling Confidential Information to prevent sharing it accidentally. The obligation of confidentiality also requires that Council members and officers use Confidential Information solely for the purpose of performing services as a Council member or officer of APSA. This policy and agreement are not intended to prevent disclosure where disclosure is required by law.

On request of APSA, Council members and officers agree to promptly return to APSA or delete any Confidential Information in their possession or control.

The APSA will record Council meetings for the purpose of accurate record keeping, but these recordings will not be released publicly, and Council and committee meetings may not otherwise be recorded.

Council members and officers acknowledge by their signature that improper use or dissemination of Confidential Information could result in significant harm to APSA. Therefore, each individual signing below understands that the APSA President may address infractions of this policy by imposing sanctions, including but not limited to, by removing the offending Council member or officer from Council committees or recommending to Council a vote to remove the offending Council member or officer through means specified in Article V.9 of the APSA Bylaws. Council members and officers also recognize that unauthorized disclosure of Confidential Information may expose them to civil liability for breach of their fiduciary duty to APSA, as well as other possible civil liability.

Upon initial election to the Council, each Council member or officer will attest they have read, understood and agreed to abide by this policy by signing below.

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Name:

Date: