

VII. METHODS OF OPERATION

7.1 ASSOCIATION OFFICE

INTRODUCTION:

The Chief Executive Officer and office staff shall carry out the day-to-day operations of the Association, contract with and correspond with Member Boards, and perform needed functions for the Association. The Board of Directors shall provide leadership and policy guidance between business meetings of the Delegate Assembly. Special requests by the Board of Directors for support requiring staff time must first be communicated to and approved by the Chief Executive Officer.

POLICY:

1. The Chief Executive Officer shall develop and administer personnel policies as approved by the Board of Directors.
2. Staff at the Association office shall do the following, as well as carry out other tasks as needed:
 - A. Assist as needed in scheduling, planning, and conducting the Annual Meeting of the Delegate Assembly, Association Education Meeting, membership training meetings, and meetings of the Board of Directors, committees, and task forces.
 - B. Provide information to members as needed and requested, with emphasis on data valuable in regulatory activities.
 - C. Publish a newsletter, which will include input from members. Information shall also be provided by memos, letters, electronic communications, and other means as needed.
 - D. Prepare and publish appropriate handbooks and manuals and make them available to Member Boards.
 - E. Monitor accounting procedures in coordination with the duties of the Treasurer, and facilitate the reimbursement of Association expenses.
 - F. Direct and assist in the paid item writer/reviewers program as needed, tracking items and editing for form and grammar.
 - G. Oversee psychometric reviews as needed, providing any needed measurement information in relation to the examination.
 - H. Register candidates for the ASWB licensure examinations in accordance with jurisdictional laws and operations policy.
 - I. Provide annual reports to the Board of Directors regarding the types of insurance carried by the Association, and the level of coverage provided.
 - J. Provide regular reports to the Board of Directors regarding all programs and services offered by the Association through its departments.
 - K. Upon request, provide reports to the Board of Directors regarding employee benefits packages offered by the Association.
3. Title to, or ownership of, all Association equipment is vested in the Association. A current equipment inventory list shall be maintained at all times.

Adopted 1984. Revised 1986, 1990, 1992; confirmed by the Executive Committee April 1995. Revised by the Board of Directors 1998, September 2003, October 2004, August 2012, January 2016.

7.2 CODE OF ETHICS

INTRODUCTION:

The Association adheres to a high standard of transparency, honesty, and commitment to service to social work boards that regulate the profession in the interest of public protection. The Association's values are: Respect, demonstrated by embracing commonalities and differences in regulatory practice; Accountability, reflected in operating responsibly toward members, professionals, and the public; Integrity, shown through being just, fair, and honest; Service, provided by meeting the needs of members, professionals, and the public; and Excellence, by achieving the highest standards in all operations and services.

Consistent ethical behavior is expected of elected members of the Board of Directors, committee members, task force members, consultants, volunteers, staff, and employees (collectively referred to as ASWB personnel). Such behavior includes protecting the validity of the social work licensing examinations through adherence to the principles of confidentiality and signed confidentiality statements.

POLICY:

1. All ASWB personnel shall perform their duties in accordance with the goal of public protection and communications in an ethical and honest manner regarding ASWB business and operations. They shall be responsible for:
 - A. Adhering to the fiduciary responsibilities owed to the Association.
 - B. Performing their responsibilities, services and activities ethically, competently, efficiently, and honestly, in keeping with policies and applicable law.
 - C. Making reasonable and properly authorized expenditures considering safeguarding the physical and financial resources of the Association.
 - D. Cooperating with periodic audits and other requests made by the Finance Committee.
 - E. Avoiding dishonesty, including fraud, theft, lying, or misuse of Association funds or property, including technology and credit cards. Such behavior will not be permitted. Any reported acts of dishonesty shall be investigated and if necessary reported to the auditor, the Board of Directors, or law enforcement authorities. Penalties for dishonesty may include immediate termination of employment or of volunteer service with the Association.
2. To the extent necessary, confidentiality agreements must be executed by all ASWB personnel, to protect the business and financial affairs of the Association.
3. Confidentiality shall be maintained about the business and personnel matters of the Association, particularly in regard to the examination program, as detailed in the confidentiality agreement.
4. ASWB personnel shall communicate and interact with anyone whom they come in contact with on behalf of the Association with professionalism and civility. This includes contact with coworkers, Association volunteers, candidates for licensure, guests, staff and members of Member Boards, representatives of other organizations, and vendors.

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5. ASWB personnel shall conduct themselves without personal conflicts or the appearance of impropriety. Any conflicts of interest or undue influence must be promptly reported to the appropriate ASWB personnel. Employees who do not timely report under this paragraph are subject to discipline.
6. ASWB personnel will bring to the attention of supervisors, the Board of Directors, or the current firm of auditors any ethical or financial violation of which they become aware. They will also notify applicable supervisors, directors, or the Employee Assistance Program of any violation of these principles or circumstances reasonably indicating that a violation has occurred or may occur.
7. The Association expects and encourages good faith reporting to foster the ethical integrity of its operations. No retaliation or adverse action shall be taken against any ASWB personnel who makes a good faith report of wrongdoing.

Adopted by the Board of Directors, April 23, 2009; revised August 2012, January 2016, January 2017.

7.3 LEADERSHIP COVERAGE AND EMERGENCY COMMUNICATIONS PLAN IN THE ABSENCE OF THE CHIEF EXECUTIVE OFFICER

INTRODUCTION

This policy provides for leadership coverage during an absence of the Chief Executive Officer (CEO) due to unexpected illness, accident, or other unforeseen event that prohibits him or her from fulfilling his or her duties and provides a plan for communicating with stakeholders during this absence.

POLICY

1. If an accident, sudden illness, or other unforeseen event occurs when the CEO is fulfilling employment duties in the office or while on travel for ASWB, the following steps will be taken:
 - a. The person receiving notification will immediately contact the Chief Operating Officer (COO). If the COO is not available, the next person to be contacted is the Director of Office Operations.
 - b. The COO or the Director of Office Operations will notify the CEO's personal emergency contacts.
 - c. The COO will implement the appropriate Leadership Coverage and Emergency Communication Plan according to the anticipated length of absence of the CEO.
2. If an accident or sudden illness occurs while the CEO is at home or on private travel, the staff person contacted will immediately notify the COO, who will put into effect the Leadership Coverage and Emergency Communications Plan appropriate to the anticipated length of absence.

Short-term Leadership Coverage and Emergency Communications Plan (four weeks or less)

The COO, in consultation with ASWB's Board President and the Director of Communications, will prepare a statement for release to staff and other essential stakeholders (i.e., the Board of Directors, member boards, and other appropriate groups).

- A meeting of the Senior Management Team will be convened by the COO as soon as possible to discuss leadership coverage for the CEO's duties.
- The COO will manage assignments and have the authority of the CEO during this time. The COO will keep the Board President informed on a regular basis.

Extended Leadership Coverage and Emergency Communications Plan (longer than four weeks)

If notified that the absence of the CEO will extend beyond four weeks, the COO will implement the following plan:

- The COO will notify the Board President and the Senior Management Team that the extended plan is being implemented.
- The Board President will notify the Board of Directors that the extended plan is being implemented.
- At the end of four weeks, the Board of Directors, in consultation with the COO, will discuss the CEO's prognosis and/or capability of returning to work. *Refer to Contingency Plan for Extended Absence of CEO for further instructions. (To be developed)*

- In the event that the CEO is unable to resume duties after a three-month absence, the COO will consult with the Board of Directors to determine next steps. Refer to *Succession Plan for further instructions. (To be developed)*
3. The following communication activities shall take place as soon as either Leadership Coverage and Emergency Communications Plan is implemented:
- The COO, in consultation with the Director of Communications, will prepare a public statement for the Board President's approval. The statement will limit personal details to maintain the CEO's privacy and will comply with all legal and regulatory requirements, such as HIPAA.
 - The COO will convene an all-staff meeting to convey the statement. Staff will be apprised of any change in leadership and will be reassured that ASWB will continue operating as usual.
 - The Board President will inform the member boards and other appropriate stakeholders about the CEO's absence, reassuring them that ASWB will operate as usual.
 - An out of office message will be placed on the CEO's email and voicemail with information about how to contact the COO for assistance.
 - The COO will provide updates to the Board President on a regular basis, at least once per week.
 - All external inquiries will be referred to the COO.
 - The Board President will provide updates to the Board of Directors on a regular basis.

Day-to-Day Operations during the CEO's Absence

During the CEO's absence, the following activities will be completed to ensure the uninterrupted conduct of day-to-day operations.

- **Financial Management**
The COO will consult with the Director of Office Operations to review all account signature cards and establish a temporary signatory during the CEO's absence.
- **Changes in Reporting Structure and Representation**
The Senior Management Team will report to the COO. Staff members will continue to report to their assigned directors or supervisors.
- **Coverage of Calendar Commitments**
The COO will review the CEO's calendar commitments and delegate as appropriate.

Adopted by the Board of Directors August 6, 2016.

7.4 SOCIAL MEDIA

INTRODUCTION:

This policy is intended to protect the interests of the Association and its members by defining the requirements expected in the use of social media. Any mention of ASWB or of an association with ASWB must be done appropriately and with care for the accuracy and suitability of comments. Social media offers the opportunity for people to gather in online communities of shared interest and create, share or consume content. The Association recognizes the benefits of social media as an important tool of engagement and enrichment for its members, member staff, Association staff, directors, volunteers, and other individuals who represent the Association. Along with those benefits are associated risks to the reputation of the Association, its members and followers, and individuals who might interact with the Association through social media channels.

POLICY:

1. Social media includes the development or sharing of content by an individual. It includes, but is not limited to:
 - Maintaining a profile page on social or business networking sites (such as LinkedIn, Facebook, Twitter, or Google+)
 - Content sharing including photo sharing sites such as Pinterest and video sharing sites such as YouTube
 - Commenting on blogs for personal or business reasons
 - Leaving product or service reviews on retailer sites or customer review sites
 - Taking part in online votes and polls
 - Taking part in conversations on public and private web forums (message boards)
 - Editing a Wikipedia article or other editable page
2. This policy includes anything posted online where information is shared that might affect members, staff, directors, or the Association as a whole. It applies to Association members and their staff, ASWB staff, directors, volunteers, and any individuals representing themselves as agents of ASWB (collectively, "ASWB representatives"). When individuals clearly identify an affiliation with ASWB and/or discuss their involvement with ASWB in areas defined as social media, they are expected to behave and express themselves appropriately and in ways that are consistent with ASWB's stated values and policies.
3. The boundaries between an individual's profession, volunteer time, and social life can often be blurred. It is therefore essential that a clear distinction is made between what one does in a personal or professional capacity and what one does, thinks, or says in his/her capacity as an ASWB representative. When using the Internet for professional or personal pursuits, ASWB representatives should take care to follow certain guidelines in order to ensure ASWB's intellectual property, confidential information, and the reputation of ASWB as a whole.

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4. Any use of social media by ASWB representatives must not contain, or link to, libelous, defamatory, or harassing content; must not comment on or publish information that is confidential or in any way sensitive about ASWB or its members; and must not bring ASWB into disrepute.
5. ASWB representatives may not use the ASWB brand to endorse or promote any product, opinion, cause, or political candidate. Any such endorsements must clearly be portrayed as representative of the individual and not representative of the views of ASWB.
6. Any trademarks belonging to ASWB or its members may not be used in personal social media applications, except where such use can be considered incidental (where incidental is taken to mean “happening in subordinate conjunction with something else.”). Trademarks include ASWB or ASWB member logos, and images depicting ASWB representatives where they can be identified as being affiliated with ASWB, except with the permission of those individuals and within other stated guidelines.
7. Social networking sites allow photographs, videos, and comments to be shared with thousands of other users. ASWB representatives should recognize that it may not be appropriate to share photographs, videos, and comments in certain situations, such as when content is recorded at a private ASWB event. In such instances, representatives could potentially breach privacy rights or inadvertently expose ASWB to claims of copyright breach. Representatives should not post information when they have been asked not to or for which consent has not been sought and given. They must also remove information about another person if that person asks them to do so.
8. ASWB representatives should also not appear publicly in inappropriate situations that might result in photographs, videos, or other social media content that would be controversial for ASWB if it could in any way be linked to their role as a representative. Under no circumstances should offensive comments be made about other representatives or ASWB online.
9. A breach of this policy may result in disciplinary action by ASWB or one of its members. Such action may include verbal or written warnings or termination of employment by ASWB or termination of engagement as a representative of the Association. Representatives should report any known or suspected breach of this policy to their supervisor or other designated individual.

Adopted by the Board of Directors August 2012. Revised January 2016, January 2017.

7.5 FISCAL PROCEDURES

INTRODUCTION:

The Association shall operate in ways that ensure fiscal responsibility and accountability.

POLICY:

1. Deposits shall be made in a timely manner as recommended by the independent auditor or financial consultant.
2. All financial institution accounts (i.e., checking, savings, CD, or investment accounts) shall be reconciled when statements are received.
3. Appropriate records of Association financial activities shall be maintained according to customary bookkeeping and accounting standards for not-for-profit entities.
4. Checking accounts for the Association shall be routinely reviewed by the Chief Executive Officer, and all funds over and above routine operating budget shall be deposited into investment accounts annually following policies established by the Association, after the President and Treasurer have been notified that funds are sufficient to do so.
5. All financial investments shall be evaluated by the Chief Executive Officer to determine whether the funds should be used for the operating budget or reinvested.
6. Status reports of accounts shall be provided to the ASWB Finance Committee and Board of Directors at least quarterly.
7. An independent audit of the Association's financial statements shall be conducted annually.
8. The Chief Executive Officer is authorized to expend money and sign checks on behalf of the Association to conduct day-to-day business. Expenditures over \$10,000 are required to be presented to the President or Treasurer. In the absence of the Chief Executive Officer, a staff designee approved by the Board of Directors may expend money and sign checks under the same restrictions applied to the Chief Executive Officer.
9. A fiscal year budget shall be set. Financial reports shall be made to the Delegate Assembly on budget variances 10 percent or more over and under the budgeted amount over \$5,000, or any variance over \$10,000, or any negative variance over 30 percent.
10. Officers and staff who are insured as required by the bylaws shall be insured for an amount selected at the discretion of the Board of Directors. The amount of insurance coverage shall be reviewed by staff at the time of policy renewal.
11. The Treasurer shall utilize staff to receive and disburse funds as directed by the Board of Directors. At each Annual Meeting of the Delegate Assembly of the Association, and at other times as directed by the Board of Directors, an account of financial transactions

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and financial status of the Association shall be rendered by the Treasurer or President, or their designee.

12. The Chief Executive Officer and the Chief Operating Officer are empowered to execute contracts of \$3,000 or more for customary business operations. Contracts for less than \$3,000 shall be reviewed and approved by executive staff prior to implementation and may be signed by staff at the director and manager levels.
13. The Association shall expense all purchases of equipment costing less than \$500 and shall consider purchases over \$500 to be capital assets depreciated using guidelines set forth by the U.S. Internal Revenue Service Code.
14. The Association shall maintain an inventory of tangible property that shall be reviewed every year. Items removed from inventory will be sold or donated as deemed appropriate by the Chief Executive Officer or Chief Operating Officer.

Adopted 1983. Revised 1986, 1987, 1989, 1990; confirmed by the Executive Committee April 1995. Revised November 1996, September 1997, September 1998, October 1999, December 1999, February 2000, August 2001, May 2003, August 2005, April 2007, August 2009, May 2010, August 2012, January 2016, January 2017.

7.6 LEGAL SERVICES

INTRODUCTION:

Legal counsel is available to the Association in general and to the Board of Directors, officers, and staff as needed and permitted by policies.

POLICY:

1. Legal counsel shall serve the Association through the Chief Executive Officer. This shall not preclude members of the Board of Directors from consulting with legal counsel when circumstances warrant.
2. Services of ASWB legal counsel shall not be requested by Member Boards, unless specific authorization has been obtained from the Chief Executive Officer or from the Board of Directors in consultation with the Chief Executive Officer.
3. Legal counsel shall be requested to participate in meetings from time to time as determined by the Board of Directors and Chief Executive Officer. Board members may ask questions and seek advice of counsel as desired during the meeting.

Adopted 1982. Revised 1986, 1992; confirmed by the Executive Committee April 1995. Revised by the Board of Directors September 1998, January 2016, January 2017.

7.7 RECORDS

INTRODUCTION:

Because accurate and accessible print and electronic records are essential to the operation of the Association, a central depository of necessary documents and information shall be maintained.

POLICY:

1. Select records of the Association (i.e., the Form 990) shall be available by appointment during regular business hours by members of the Board of Directors and/or Member Boards.
2. The following records shall be kept for a minimum of three years: correspondence and roster of Delegates, Alternates, and officers.
3. The following records shall be kept for a minimum of ten years: contracts, roster of Member Boards, accounting records, and minutes of committees.
4. The following records shall be kept indefinitely: Minutes of the proceedings of the Delegate Assembly and Board of Directors, the Articles of Incorporation and bylaws, audits, tax returns, retirement plan documents, employee records, examination scores, all former reports related to the ASWB examinations (e.g., annual technical reports, practice analysis reports, designated appropriate information and studies), all information related to disciplinary processes, and decisions on accommodations granted in accordance with applicable law related to individuals with disabilities in the United States and human rights legislation in Canada.
5. Records must be kept securely and shredded or otherwise appropriately destroyed or deleted when the expiration time has been reached.
6. The Association shall follow the record retention policy for most business and accounting records as prescribed by the U.S. Internal Revenue Service Code.

Adopted 1990. Revised 1992; confirmed by the Executive Committee April 1995. Revised by the Board of Directors September 1998, August 2012, January 2016.

7.8 NEWSLETTER ADVERTISEMENTS

INTRODUCTION:

Advertisements in ASWB newsletters may be accepted according to the following policies.

POLICY:

1. The Association may accept advertisements for its newsletters.
2. Advertisements must not be in conflict with the objectives of the Association.
3. The Association, through the Chief Executive Officer, reserves the right to refuse any advertisement.

Adopted September 19, 1992. Confirmed by the Executive Committee April 1995. Revised by the Board of Directors, September 1998, October 2004, January 2016.

7.9 RESEARCH SUPPORT

INTRODUCTION:

Engaging in and encouraging research on matters related to legal regulation is stated in the bylaws as a central purpose of the Association. In order to fulfill this purpose, the ASWB Board of Directors may consider providing limited support to individual research projects that are related to the Association's mission and goals, and that follow Association policy.

POLICY:

1. All requests for research support, data access, or other assistance must be in writing and submitted to the ASWB Board of Directors for its review.
2. If data are being requested, the researcher must present the Board of Directors with an explanation of how that data will be used.
3. If data are made available, researchers must be willing to enter a confidentiality agreement with the Association regarding the use, reproduction, and security of the data. Such use must comply with all applicable ethical standards.
4. All requested data must be accessed through the Chief Executive Officer or Chief Operating Officer.
5. The ASWB Board of Directors reserves the right to deny access to any proprietary or confidential data.
6. If support or data are provided, the Association must be appropriately cited in the research product and all future publications that may result from the research product.
7. The Association reserves the right to require review and approval of any research product developed under this policy prior to the product's dissemination.
8. The Association must receive complimentary copies of the research product prior to dissemination.
9. The researcher must be willing to present the research product at an Association meeting.
10. The ASWB Board of Directors may provide written support, limited access to Association data, and/or award a research grant or in-kind services on the basis of merit.
11. The ASWB Board of Directors may designate funds for research support in annual Association budgets.
12. The ASWB Board of Directors reserves the right to deny any request for research support.

Adopted by the Board of Directors January 1996. Revised September 1998, October 2004, April 2016, January 2017.

7.10 ASWB SPEAKERS, FACILITATORS, AND LIAISONS

INTRODUCTION:

The Association is committed to educating the public, the social work profession, and other regulators and regulatory board associations on issues related to social work regulation. To that end, the ASWB Board of Directors may provide support to representatives who have been designated by the Association to speak or present on behalf of the Association at meetings or conferences of other organizations.

POLICY:

1. Members of the ASWB Board of Directors, Association office staff, Member Board staff, members of Member Boards, or ASWB consultants may serve as liaisons to other organizations at the designation of the President.
2. All requests for speakers, presenters, and liaisons must be made through the Association office. The Chief Executive Officer or Board of Directors shall select the appropriate individual(s) for the event.
3. Upon approval by the ASWB Board of Directors, the Association may pay all related expenses for the designated speaker, facilitator, or liaison in accordance with ASWB travel and expense policies.
4. Requests for financial assistance or reimbursement from individuals not selected by the ASWB Board of Directors or Chief Executive Officer shall be denied.

Adopted by the Board of Directors November 1996; revised September 1998, October 2004, August 2012, January 2016, January 2017.

7.11 INVESTMENTS

INTRODUCTION:

This Investment Policy establishes the objectives and guidelines for the investment of the Association's reserve funds. Reserves are normally the result of accumulated surpluses in the financial operations of the activities and programs assigned to ASWB funds. The reserves are maintained to facilitate the continuing operation of activities in the event of unusual financial conditions, or to address unbudgeted and extraordinary expenses.

POLICY:

1. Investments shall be made in ways that secure capital and its purchasing power relative to inflation.
2. At least 60 percent (Short Term Fund) of the Association's investments shall be made in a manner that will ensure maximum return on the investment with minimal, low, or conservative risk.
3. Up to 40 percent (Long Term Fund) of the Association's investment funds may be placed in bond or stock mutual funds.
4. Whenever prudent, the Association's investments shall be made in socially responsible instruments whose criteria meet with the approval of the Board of Directors.
5. Staff shall report to the ASWB Finance Committee and Board of Directors on a regular basis concerning the status of all Association investments.
6. The Finance Committee shall review, at least annually, the Association's long-term strategies for investments and, where applicable, make recommendations to the Board of Directors.
7. The Finance Committee shall employ the included Guidelines for Investment Recommendations and Review, which may be modified from time to time.

Guidelines for Investment Recommendations and Review

To implement and monitor the Association's investment policies, the Finance Committee shall use the following guidelines in evaluating the Association's current and potential investments.

1. Investment Objectives

Reserve funds will be separated into two accounts: one for potential short term needs, and one for long term.

The objective of the Short Term Fund (60%) is preservation of capital and liquidity. Its risk tolerance shall be considered "Conservative."

The objective of the Long Term Fund (40%) is capital appreciation, with a time horizon of seven to ten years. Its risk tolerance shall be considered "Moderate."

Allowable investments for each fund are shown under #3 below.

2. Roles and Responsibilities

The Finance Committee made a recommendation to the Board of Directors to retain an Investment Advisor to oversee the management of the Association's reserve funds. The Board of Directors approved this recommendation at its August 9, 2013, meeting and voted to acquire the services of a professional investment management service.

ASWB Board of Directors: The Board of Directors of the Association shall have final approval of any changes to this Investment Policy, based on recommendations from the Finance Committee.

ASWB Finance Committee: It is the responsibility of the Finance Committee to review this policy annually, in consultation with the Investment Advisor, and propose any changes to the Board of Directors.

ASWB Chief Executive Officer: The authority of investment discretion and decisions lies with the Association's Chief Executive Officer or designated Executive Management staff, based on recommendations from the Investment Advisor, in accordance with the constraints of this policy. Staff shall provide information about the investment performance and any recommendations made by the Investment Advisor to the ASWB Treasurer on a quarterly basis. Any investment issues requiring immediate action that are brought to the attention of staff by the Investment Advisor will be brought to the Finance Committee immediately.

Investment Advisor: The Investment Advisor shall provide monthly and quarterly statements to ASWB, which will include the transactions and performance of the short and long term funds. The Investment Advisor shall also provide recommendations for any changes to the portfolios to the Association's CEO or designated Executive Management staff.

3. Allowable Investments

- Money Market Funds
- CDs insured by the FDIC

- Treasury Bills
- U.S. Government and Agency Securities
- Corporate Notes and Bonds
- All types of Mutual Funds, including REITS and alternative investments with daily liquidity
- Exchange Traded Funds, except those using leverage
- Short duration bond funds

4. Prohibited Investments and Transactions

- Individual stocks
- Commodities and Futures Contracts
- Private Placements
- Individual Options
- Short selling (except within mutual and bond funds)
- Margin Transactions

5. Benchmarks and Target Rates of Return

Each investment fund shall have a target rate of return, net of fees, equal to a blended benchmark of appropriate indexes at the target allocations shown in the tables below.

6. Asset Allocation Guidelines

Short Term Fund:

Asset Class	Minimum, %	Maximum, %	Target, %
Cash & Equivalents	0	20	10
Fixed Income	35	75	55
Equities	15	35	25
Alternative Investment	5	15	10

Long Term Fund:

Asset Class	Minimum, %	Maximum, %	Target, %
Cash & Equivalents	0	10	5
Fixed Income	15	45	30
Equities	30	60	45
Alternative Investment	5	30	20

Adopted December 30, 1990. Revised 1992; confirmed by the Executive Committee April 1995. Revised September 1997, October 1999, August 2001, May 2003, April 2004, May 2008, August 2012, October 2013, April 2015, January 2016.

7.12 RESERVE FUNDING

INTRODUCTION:

The Association is committed to ensuring its continued operation through the establishment of reserve funds, some of which may be set aside for specific purposes.

POLICY:

1. At the close of the fiscal year, 20 percent of all revenue over expenditures shall be assigned to a General Reserve Fund, with the remaining 80 percent to be assigned to a Designated Reserves Fund.
2. The General Reserve Fund shall be used at the discretion of the Board of Directors and Chief Executive Officer, following the fiscal procedures policies established by the Association.
3. Funds in the Designated Reserves shall be divided into two subcategories: 30 percent of the total Designated Reserves shall be assigned to an Exam/Legal Defense Fund, and the remaining 70 percent of the total Designated Reserves shall be assigned to an Operating Business Expense Fund.
4. The Association shall continue to build its reserves toward the goal of establishing and maintaining an Operating Business Expense Fund equal to 18 months' operating expenses at minimum, and an Exam/Legal Defense Fund totaling \$5 million at minimum.
5. Funds in the Exam/Legal Defense Fund shall be accessible by the Association only after approval of the Board of Directors and notification of the ASWB Delegates.
6. Funds in the Operating Business Expenses Fund shall be accessible by the Association only after approval of the Board of Directors.
7. Staff shall report to the Finance Committee and Board of Directors on a regular basis concerning the status of all reserve funds.
8. The ASWB Finance Committee shall review this policy annually to reassess reserve goals as identified above.

Adopted by the ASWB Board of Directors October 1999. Revised May 2003, October 2004, May 2010, May 2011, August 2012, April 2016.

7.13 APPROVED CONTINUING EDUCATION PROGRAM

INTRODUCTION:

Through its Approved Continuing Education (ACE) Program, the Association provides a detailed review of the educational and programming standards, qualifications, administration, program development and promotion of providers of social work continuing education.

Participation in the program provides assurance that continuing education for social workers offered by these providers meets consistent, rigorous standards, guided by the Association's mission of public protection.

The ACE Program allows individual boards the opportunity to be relieved from the need to review every provider in detail for themselves, since approved providers will already have been held to the high standards applied by ACE. Individual boards will determine the extent of their recognition and use of the program. Individual boards, if they choose, may also recognize providers and/or individual course offerings and determine if the subject matter is consistent with the board's requirements.

POLICY:

1. The Continuing Competence Committee, appointed by the President with the approval of the Board of Directors, reviews policies that apply to the program. The committee shall be composed of a majority of licensed social workers with diverse backgrounds, representing practice and academics.
2. Providers seeking ACE approval must complete an application form supplied by the Association according to the instructions. Continuing education providers shall be evaluated on the basis of the application and other information, to ensure that they meet ACE program standards and criteria.
3. Providers who meet these standards shall be recommended to the ASWB Board of Directors for approval as ASWB ACE-approved providers.
4. Initial approval is for one year. Providers may submit applications for renewal to extend the approval for up to two additional three-year terms. Each extension shall be made only after successful completion of a thorough review by staff, conducted on the same criteria as the review for initial approval. The provider may be asked to respond to requests for any needed additional information or documentation to ensure that the ACE Program standards and criteria continue to be met.
5. Providers that apply but are not approved to be part of the ACE program, or whose approval is suspended or not extended, may appeal to the Board of Directors through the Chief Executive Officer.

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6. As part of the ACE standards, approved providers must present evidence of programming related to social work, such as theories and concepts of human behavior in the social environment, social work practice, knowledge and skills, social work research, programs or practice evaluations, social work management, administration or social policy, ethics, and other areas deemed by individual boards to be important and relevant to current social work practice.
7. Providers shall include a precautionary message that social workers should consult the licensing law or the board in their jurisdiction about the acceptability of a particular course or program when fulfilling continuing education requirements.
8. The Association's mission encourages consistency within social work regulation, but use of the ACE program will be customized by ASWB Member Boards to meet the specific needs of each jurisdiction. Boards may choose to recognize ACE providers by referencing the ASWB ACE program and its standards and criteria in their board regulations.
9. Approved providers shall be assigned a number, which they may use on promotional materials as evidence of their inclusion in ACE. They will also be listed on the Association website and on lists provided to jurisdictional boards.

Approved by the Board of Directors August 18, 2001. Revised August 2012, April 2016, January 2017.

7.14 CONFERENCE ATTENDANCE AND EXHIBITS

INTRODUCTION:

As part of the ASWB mission to increase public and professional understanding of the importance and value of social work regulation to public protection, Association leaders and staff attend or exhibit at a number of national, international, and jurisdictional conferences each year. Printed materials appropriate to the attendees may be distributed from a booth, or education programs about licensing or the examinations may be presented to groups according to the following policy. Funded attendees shall adhere to the ASWB travel and expense policies.

POLICY:

1. The Association shall exhibit at a limited number of jurisdictional conferences per year, depending on available funds and staff time.
2. The Association shall respond to invitations from jurisdictional organizations to exhibit and shall accept invitations in the order that they are received.
3. Attendance in any year will depend on dates available in the ASWB calendar; if there are conflicts and staff or exhibit materials are already committed, an invitation from a jurisdictional organization will have to be declined.
4. The Association may pay all exhibit fees and efforts will be made to send at least one staff member or volunteer to manage the exhibit. The jurisdictional board shall be encouraged to bring any written materials of its own as handouts for social workers.

Adopted January 26, 2002. Revised October 2004, August 2012, January 2016, January 2017.

7.15 PUBLIC PROTECTION DATABASE

INTRODUCTION:

The Public Protection Database (PPD) is a databank developed and maintained by the Association as part of its mission of protection of the public. Actions taken by jurisdictions relative to individuals are reported to PPD, and have been since 1991 when the program began under its original name, the Disciplinary Action Reporting System. PPD serves as a resource for regulatory boards investigating the professional background and current licensure status of social workers in their jurisdictions, or of applicants for licensure.

Jurisdictional boards are encouraged to maintain the quality of this service by reporting to the PPD in a timely manner all board actions taken in reference to current licensees, licensure applicants, unlicensed individuals, licensees applying for renewal or reinstatement, and licensees who have had actions taken against them.

POLICY:

1. PPD is a means by which social work regulatory boards can review data related to the background of individuals seeking licensure or renewal. Because the system is designed to “flag” individuals, boards are expected to check with the jurisdiction that took the action for more detailed information.
2. All actions reported by boards to PPD shall be entered and maintained in the system.
3. Information accepted and stored may include the complete name of the licensee, any alias or other name used, both home and work addresses, gender, date of birth, Social Security/Social Insurance number, license number, licensure board, school granting degree, year of graduation, and degree received. Information to be recorded on the reporting board includes board name, board contact and title, telephone number, and report date.
4. For disciplinary actions, an action code according to the National Practitioner Databank (NPDB) coding structure shall be recorded, as well as a code for the Basis for Action. Other details as available are recorded.
5. Once a record is entered into PPD it will not be expunged because of later decisions or actions, or the passage of time. All succeeding actions involving the licensee shall be added to the record.
6. Reports on actions in PPD shall be posted periodically for access by all Member Boards.
7. The Association may act as the reporting agent to the NPDB for any of its Member Boards that make such a request and file the required written authorization.
8. Social work regulatory boards are encouraged to continue to report to PPD even if they self-report to NPDB and other databanks.

Approved by the Board of Directors January 2002. Revised April 2002, October 2004, February 2007, November 2010, August 2012, January 2016, January 2017.

7.16 FEES AND DUES REVIEW

INTRODUCTION:

The Association recognizes that the financial health of the organization is a crucial factor in the ongoing operation of the ASWB examination program and other services. Because the fees charged for the examinations and the dues assessed to members are major revenue centers, and because changes to these fees have far-reaching effects, the Association shall carefully monitor these fees and the timelines for possible changes.

POLICY:

1. The examination fees charged by the Association shall be reviewed by the ASWB Finance Committee at intervals of no more than five years.
2. The examination fees charged by the Association shall be reviewed after a fiscal year that ends with an operating deficit, or when extraordinary circumstances occur as determined by the Board.
3. Member board dues charged by the Association shall be reviewed by the ASWB Finance Committee at least every seven years, or more frequently as determined by the Board of Directors.
4. A review of the examination fee and membership dues structure shall include a recommendation from the ASWB Finance Committee to the board, accompanied with the rationale behind the recommendation.

Adopted May 1, 2003. Revised October 2004, August 2012, January 2016.

7.17 RISK MANAGEMENT

INTRODUCTION:

As part of its commitment to operate in ways that minimize potential harm to the Association, its Member Boards, the examination program, and staff, the Association of Social Work Boards and its Board of Directors shall make efforts to assess and manage risk.

POLICY:

1. ASWB staff shall prepare an annual audit of risk faced by the Association. The audit will outline sources of risk, types of risk, and efforts being made to manage risk.
2. The ASWB Board of Directors shall review the risk audit and develop plans for addressing pertinent risks.
3. The ASWB Board of Directors may assign additional risk assessments to ASWB committees, task forces, staff, consultants, or subcommittees of the board, as appropriate.
4. The existence of a level of risk shall not preclude the Association from engaging in a given activity, service, or policy.

Adopted April 29, 2004. Revised by the Board of Directors August 2012.

7.18 ENVIRONMENTAL RESPONSIBILITIES

INTRODUCTION:

The Association and its employees shall take all possible steps to reduce waste and to minimize environmental impact. Association volunteers, including the Board of Directors, shall be encouraged to be mindful of environmental impact.

POLICY:

1. The Association should purchase the most nonpolluting and energy-efficient technologies available.
2. Office supplies with a high content of recycled materials shall be purchased.
3. Suppliers with a responsible record for supplying materials that are the end product of recycling shall be used when possible.
4. Use of paper shall be reduced as much as possible through electronic communication when feasible and double-sided copying.
5. All materials that can be recycled shall be collected in conveniently located bins. Such materials include aluminum cans, plastic bottles, newspapers, copy paper, and printer and toner cartridges.
6. Carpooling shall be used by employees and volunteers for official ASWB business when practical.
7. All plumbing in the Association's buildings shall be maintained free from leaks.
8. Employees shall be vigilant about keeping lights and equipment turned off when not needed.
9. Reasonable temperatures for heat and air conditioning shall be maintained.
10. Environmentally friendly supplies for cleaning and for use in kitchens and bathrooms shall be used.
11. Standard office lighting shall be as energy efficient as is feasible.
12. Hotels with environmentally responsible policies, such as recycling and reduced use of water and electrical power, shall be given preference for use for Association meetings.

Adopted by the Board of Directors January 2009. Revised August 2012, January 2016.