Association of Social Work Boards

POLICY MANUAL

Updated August 2026.

Policy sections were reordered and renumbered as part of this revision.

I MEMBERSHIP AND VOLUNTEER ENGAGEMENT

I.1. ASSOCIATION MEMBERSHIP 2
I.2. MEETINGS AND EDUCATIONAL OFFERINGS 3
I.3. ASWB CALENDAR AND COMMITTEES 4
I.4. MEMBER TRAINING 5
I.5. ANNUAL MEETING CONDUCT OF BUSINESS 6
I.6. RESOLUTIONS 7
I.7. ELECTION CANDIDATE INFORMATION 8
I.8. ASWB ANNUAL MEETING OF THE DELEGATE ASSEMBLY FUNDING 9
I.9. ASSOCIATION EDUCATION MEETING 10
I.10. TRAVEL ARRANGEMENTS AND EXPENSES 11
I.11. ASSOCIATION SERVICE AWARDS PROGRAM 14
I.12. VOLUNTEER RECOGNITION 16
I.13. CODE OF CONDUCT 17
I.14. ASWB MEETING CONDUCT 19
I.15. SOCIAL MEDIA 20
I.16. MEDIA RELATIONS 22
I.17. APPROVED CONTINUING EDUCATION PROGRAM 24
I.18. PUBLIC PROTECTION DATABASE 25

I.1. ASSOCIATION MEMBERSHIP

INTRODUCTION:

Membership eligibility for boards and colleges of social work regulation is established in the Association's Articles of Incorporation and bylaws.

POLICY:

Member Board responsibilities

1. Member Boards agree to comply with ASWB bylaws and policies applicable to Member Boards.
2. Noncompliance with ASWB bylaws and policies applicable to Member Boards as determined by the ASWB Board of Directors may lead to loss of a Member Board's good-standing status.
3. Member Boards agree to send a delegate to the Annual Meeting of the Delegate Assembly and any special meetings of the Delegate Assembly called by the ASWB Board president.
4. To be represented by a voting delegate and alternate delegate, Member Boards must be in good standing as determined by the ASWB Board of Directors, including but not limited to being current in payment of annual dues.
5. Dues assessment of a Member Board shall be US$250 per year.
6. Member Boards shall comply in a timely manner with reasonable requests from the Association office for data and information related to social work regulation and Member Board operations.

Membership benefits

7. Access to all membership benefits is premised on a Member Board's good-standing status as determined by the ASWB Board of Directors and includes compliance with ASWB bylaws, policies applicable to Member Boards, and payment of annual dues.
8. Benefits include representation at the annual meeting as well as the following services provided by the Association office:
    a. Exam/licensing/administrative services
    b. Information/research services
    c. Publications/websites
    d. Member meetings/professional development
    e. Leadership opportunities

Adopted 1986; revised 1989; confirmed by the Executive Committee April 1995. Revised September 1998, January 2001, October 2004, August 2012, January 2016, January 2017, January 2018, January 2019, April 2021, August 2022.

I.2. MEETINGS AND EDUCATIONAL OFFERINGS

INTRODUCTION:

To conduct business and share information, the Association shall hold regular meetings and educational offerings.

POLICY:

1. To offer all Member Boards the opportunity to attend meetings in their region and alleviate the travel burden for members across North America, meetings and educational offerings may be held in different locations in the United States and Canada.
    a. ASWB will make every effort to offer the Annual Meeting of the Delegate Assembly and the Education Meeting in person. ASWB may offer the opportunity for attendees to participate virtually when in-person meetings cannot be held.
    b. ASWB will make every effort to provide in-person and online educational and engagement opportunities.
2. Speakers may be invited to attend Association meetings to provide program content. Subject to approval of the CEO, reasonable costs of transportation, lodging, and food may be paid by the Association when invited speakers are not financially reimbursed by a regulatory board or other professional entity. Such funding shall comply with travel arrangements and expense policies.
3. Proper provisions for persons with disabilities must be in place at any facility used.
4. Continuing education credits shall be awarded for program content offered at Association meetings in accordance with applicable ASWB policies. Attendance shall be monitored.
5. Attendees will be asked to provide feedback and evaluations, including workshop evaluations, following meetings when appropriate.
6. When feedback is collected, a summary of attendee feedback and meeting evaluations shall be made available to the ASWB Board of Directors, and there shall be a specific agenda item at a Board of Directors meeting to provide formal time for discussion and follow-up.
7. Vendors are prohibited from exhibiting or marketing to ASWB meeting participants. ASWB may make available information about vendors who offer beneficial services to Member Boards.
8. ASWB will not share the contact information of members with vendors or entities with the intention of marketing to ASWB members.
9. Attendees who are funded by ASWB to attend any meeting affiliated with ASWB shall adhere to Policy 1.10, Travel Arrangements and Expenses.

Adopted 1981. Revised 1984, 1986, 1989, 1992. Confirmed by the Executive Committee April 1995; revised August 1995. Revised by the Board of Directors September 1998, October 2004, August 2012, January 2016, April 2016, January 2017, January 2019, April 2021.

I.3. ASWB CALENDAR AND COMMITTEES

INTRODUCTION:

ASWB intends to maintain fiscal responsibility, to ensure accountability, and to support the implementation of the strategic framework. Committees and task forces are integral management vehicles to achieve these goals. To maintain orderly planning and preparation, policies governing the scheduling of yearly meetings and communication with membership about these meetings shall be as follows.

POLICY:

1. The ASWB Calendar shall include the following in-person meetings annually: annual meeting, education conference, Board of Directors meetings, member trainings, and Leadership Weekend. The Calendar will also include online meetings offered by ASWB for membership and external stakeholders.
2. The Director of Volunteer Engagement and Outreach shall set the Calendar in collaboration with the CEO and ASWB Board President so that meetings are scheduled to effectively manage the work outlined in committee and task force charges. Due to the interaction of staff and volunteers resulting from the Association's committee structure, appropriate committee members and staff may be consulted prior to setting the Calendar.
3. Requests for additional in-person meetings that are not included in the finalized ASWB Calendar must be made to the CEO.
4. The finalized ASWB Calendar that includes all meetings for the upcoming year shall be made available to membership at the Annual Meeting of the Delegate Assembly or as soon as possible following.
5. Virtual committee meetings may be held at the discretion of the committee chair and committee staff to complete the work of the committee and are not included on the published ASWB Calendar.
6. Every effort will be made to adhere to the finalized ASWB Calendar that is in the yearly budget and shared with membership to reinforce orderly planning and preparation for attendees and staff.

Confirmed by the Executive Committee April 1995. Revised by the Board of Directors, September 1998, August 2012, April 2016, January 2018, January 2019.

I.4. MEMBER TRAINING

INTRODUCTION:

The Association is committed to providing Member Boards with education programs that will assist them in the protection of the public. To that end, the Association may sponsor training for regulatory board members and board staff when sufficient funds are available for these programs. All Member Boards shall be eligible to participate in the training programs, which shall follow Association policy.

POLICY:

1. Notice of an upcoming ASWB member training session shall be forwarded to Member Boards no less than 60 days in advance of the meeting.
2. When financially feasible, the Association will bear the transportation and lodging costs of a limited number of eligible participants from Member Boards in good standing for meetings that have an in-person component. Funded attendees shall adhere to ASWB travel and expense policies outlined in Policy 1.10, Travel Arrangements and Expenses.
3. To be eligible for Association funding, the participants must be current Member Board members or staff. Priority will be given to those who would benefit most from the training or who are new to ASWB.
4. Association funding shall be awarded on a first-come, first-served basis to eligible participants and may be limited to one participant per Member Board to benefit the largest number of ASWB Member Boards. Member Boards may be awarded funding for additional participants on a funding-available basis or as is required by the format of the training.
    a. Funded attendees must be able to attend the meeting in its entirety. Accepting funding serves as an agreement to attend the meeting in its entirety.
    b. A Member Board member may be fully funded to attend New Board Member Training once.
5. Participants who fall outside these eligibility requirements may attend member training without Association funding subject to availability and approval by the CEO.
6. Based on Member Board requests and availability of funding and staff, training may be conducted each year in a member jurisdiction in the United States or Canada.
    a. Training dates shall be determined by the ASWB CEO and the Director of Volunteer Engagement and Outreach and shall be compatible with the current ASWB Calendar.
    b. Locations of the trainings will be determined based on criteria outlined in Policy 1.2, Meetings and Educational Offerings. The Member Board in the jurisdiction where the training is held and Member Boards in nearby jurisdictions will be given first priority for participants. Eligible Member Boards must submit such requests by the registration deadline.

Adopted by the Board of Directors January 1997. Revised by the Board of Directors 1998, August 2012, April 2016, January 2017, January 2019, January 2020, April 2022.

I.5. ANNUAL MEETING CONDUCT OF BUSINESS

INTRODUCTION:

To facilitate the fair and effective conduct of Association business, the Association will follow guidelines for the development of its Annual Meeting of the Delegate Assembly agenda and operation of the meeting.

POLICY:

1. Each Member Board shall select one voting Delegate and one nonvoting Alternate Delegate. Member Boards are expected to notify the Association office of the Member Board's choice of Delegate and Alternate Delegate no less than 45 days prior to the Annual Meeting of the Delegate Assembly.
2. The Board President in consultation with staff shall develop the agenda for the Annual Meeting of the Delegate Assembly.
3. Notice of the Annual Meeting of the Delegate Assembly, along with requests for potential agenda items, shall be forwarded to Member Boards no less than 90 days prior to the meeting. Items received no less than 60 days before the meeting will be considered for placement on the agenda by the President in consultation with the CEO and the ASWB Board of Directors.
4. Member jurisdictions shall receive notification of the proposed agenda for the Annual Meeting of the Delegate Assembly no less than 60 days before the date of the meeting.
5. There may be an orientation for attendees at the Annual Meeting of the Delegate Assembly or offered online prior to the meeting.
6. At the opening session of each meeting at which business will be conducted, the presence of a quorum of Member Board Delegates shall be established through a roll call by the Secretary or designee of the presiding officer. Delegates, Alternates, and other Member Board members and staff present shall be identified and introduced at this time.
7. Delegates shall consider the final agenda of the Annual Meeting of the Delegate Assembly at the commencement of the meeting and may revise and approve the agenda by an affirmative vote of the majority of the established quorum. ASWB business shall take precedence over other items on the agenda.
8. Elections for members of the ASWB Board of Directors and members of the ASWB Nominating Committee shall take place during the Annual Meeting of the Delegate Assembly. The Nominating Committee shall request nominee recommendations from member jurisdictions for slated positions in advance of the meeting, according to the ASWB bylaws. Recommendations will be reviewed by the Nominating Committee.
9. Anyone wishing to speak at the Annual Meeting of the Delegate Assembly must use the public speaking system and may speak after being recognized by the presiding officer. Speakers should begin by stating their name and, when applicable, the Member Board being represented. Speakers should respect any imposed time limits and the rights of others who may wish to speak. The presiding officer will encourage and facilitate broad participation from the floor of the Delegate Assembly.
10. The presiding officer may accept written or verbal motions. Any motion whose implementation would require the expenditure of Association funds must be in written form and be accompanied by a fiscal note.

Adopted October 1995. Revised by the Board of Directors September 1998, November 2004, November 2010, August 2012, January 2016, January 2017, January 2019, April 2021, April 2022.

I.6. RESOLUTIONS

INTRODUCTION:

Resolutions should be reserved for important or complex issues that require greater formality than a standard motion. ASWB resolutions shall be written to stand alone and typically contain rationale supporting the subject of the resolution. Because of their special nature, resolutions forwarded for consideration by the ASWB Delegate Assembly shall follow submission guidelines.

POLICY:

1. No less than 150 days before the date of the Annual Meeting of the Delegate Assembly, the Association office shall forward a request for proposed resolutions to Member Boards.
2. Proposed resolutions shall be submitted in writing and received at the Association office not less than 120 days before the Annual Meeting of the Delegate Assembly. The Association office shall forward such resolutions to the Bylaws and Resolutions Committee within seven days after receipt. Resolutions proposed by the Bylaws and Resolutions Committee shall be in writing and received at the Association office not less than 75 days before the Annual Meeting of the Delegate Assembly. The CEO shall forward proposed resolutions to Delegates, Alternates, and all Member Boards not less than 60 days prior to the date of the Annual Meeting of the Delegate Assembly.
3. All resolutions shall in some way reflect the ASWB mission and vision and must include a fiscal note if the implementation of the resolution would require an expenditure of Association funds.
4. Resolutions shall be sponsored by a Member Board, the ASWB Board of Directors, or an ASWB committee.
5. The Bylaws and Resolutions Committee shall submit all resolutions to the Delegate Assembly for consideration and shall include a recommendation of "Pass," "Not Pass," or "No Recommendation."
6. A resolution may be introduced after the 120-day deadline if it pertains to an event of immediate concern to the Association that occurred after the deadline and not less than 24 hours before the beginning of the Annual Meeting of the Delegate Assembly. The resolution must be submitted to the Bylaws and Resolutions Committee no later than 5:00 p.m. local time on the first day of the Annual Meeting of the Delegate Assembly and will be prepared for Delegate Assembly consideration at the Annual Meeting of the Delegate Assembly.

Adopted October 1995. Revised September 1998, October 2004, August 2012, January 2016, April 2022.

I.7. ELECTION CANDIDATE INFORMATION

INTRODUCTION:

It is in the best interest of the Association to give all candidates a uniform process for providing information about their candidacy to Delegates and other participants at the Annual Meeting of the Delegate Assembly.

POLICY:

1. Information about all nominees for seats on the ASWB Board of Directors and the next year's Nominating Committee shall be published on the ASWB website no less than 30 days before the voting date. Delegates, Member Board chairs, and Member Board administrators will be notified when the information is available. The information will include a photo, a brief biography, and a description of the candidate's involvement with the Association as well as a candidate statement. With editing as needed for grammar, spelling, and space, the material is taken directly from forms submitted by each candidate.
2. Candidates shall be introduced on the first day of the Annual Meeting of the Delegate Assembly, when additional nominations may be made from the floor. ASWB staff shall make provisions for nominations from the floor at online meetings in consultation with the President and CEO, with the advisement of ASWB legal counsel.
3. Time shall be provided for brief speeches by the candidates in attendance or for electronic speeches by absentee candidates before the vote is taken. If the meeting is held online, speeches may be recorded and made available to attendees before the election. No other campaigning or distribution of materials of any kind (e.g., candies, flyers, gifts) is to be done by candidates at any time.
4. Time will be provided during the Annual Meeting of the Delegate Assembly for attendees to speak with candidates to learn more about them and their qualifications for elected positions.

Adopted by the Board of Directors August 2004. Revised October 2005, February 2006, August 2012, January 2016, January 2017, January 2019, April 2021, April 2022, August 2022.

I.8. ASWB ANNUAL MEETING OF THE DELEGATE ASSEMBLY FUNDING

INTRODUCTION:

An Annual Meeting of the Delegate Assembly shall be held each year pursuant to the ASWB bylaws. Scheduling will be determined on the basis of availability of space, reasonable costs, and other considerations. The purpose of this meeting is to conduct Association business. To ensure the most complete participation possible, one Delegate from each Member Board and one administrator may be funded by ASWB to attend the Annual Meeting of the Delegate Assembly when such meeting occurs in person. There is no registration fee for members to attend this meeting. Funding covers all costs incurred related to travel, lodging, and meals to attend the annual meeting. Funded attendees shall adhere to ASWB travel and expense policies outlined in Policy 1.10, Travel Arrangements and Expenses.

POLICY:

1. To qualify for funding, Member Boards are expected to notify the Association office of intent to send a Delegate at least 45 days before the Annual Meeting of the Delegate Assembly. Costs shall be paid only if the jurisdiction has paid its dues at least 45 days before the meeting.
2. Current ASWB committee and task force chairs may be funded to attend the Annual Meeting of the Delegate Assembly.
3. Current committee members may be funded to attend the Annual Meeting of the Delegate Assembly if their attendance is required to conduct committee business.
4. All members of the ASWB Nominating Committee and the Board of Directors may be funded to attend the Annual Meeting of the Delegate Assembly.
5. Nominees slated by the Nominating Committee for an elected position may be funded to attend the Annual Meeting of the Delegate Assembly.
6. Speakers, presenters, and guests approved by the Chief Executive Officer may be funded to attend according to Policy I.2, Meetings and Educational Offerings.
7. Facilitators for Administrators Forum and Board Member Exchange may be fully funded to attend.

Confirmed by the Executive Committee April 1995; revised by the Board of Directors September 1998, February 2000, September 2003, February 2007, August 2007, October 2009, August 2012, May 2014, January 2016, April 2016, January 2017, January 2019, January 2020, April 2021, April 2022, August 2026.

I.9. ASSOCIATION EDUCATION MEETING

INTRODUCTION:

An education meeting shall be held each year pursuant to the ASWB bylaws. The purpose of this meeting is to provide support to social work regulatory bodies in carrying out their legislated mandates and to enhance the proficiency of Member Board members and administrators. When the theme of the Education Meeting is appropriate to a broader audience, ASWB may open up the meeting to nonmembers at the discretion of ASWB leadership and the Board of Directors. This determination should be made as far in advance as possible to ensure an appropriate venue is secured to accommodate the increased attendance.

When meetings are held in person, the Association may bear certain costs associated with the attendance of invited speakers and facilitators who are not otherwise financially reimbursed. There is no registration fee for members to attend this meeting. Funding covers all costs incurred related to travel, lodging, and meals to attend the education meeting. Funded attendees shall adhere to Policy 1.10, Travel Arrangements and Expenses.

POLICY:

1. The theme of the Association Education Meeting shall be decided by the ASWB Board of Directors and should focus on increasing attendees' knowledge of regulation and regulatory trends and best practices. Content based on the theme shall be developed by the Regulatory Education and Leadership Committee in consultation with the Chief Executive Officer.
2. Speakers and presenters may be funded to attend according to policy 1.2, Meetings and Educational Offerings.
3. Subject to the approval of the Chief Executive Officer, honoraria may be awarded to speakers not affiliated with ASWB in accordance with the meeting budget and other related factors.
4. All current ASWB committee and task force chairs may be funded to attend the Association Education Meeting.
5. Current committee members may attend the Education Meeting. Committee members may be funded to attend the Education Meeting if their attendance is required to conduct committee business.
6. 6.All members of the ASWB Nominating Committee, ASWB Board of Directors, and members of the current and incoming REAL Committee may be funded to attend the Association Education Meeting.
7. Subject to approval of the Board of Directors, a limited number of scholarships to attend the Association Education Meeting may be made available to administrators and Member Board members to cover the cost of transportation, lodging, and food.
8. Facilitators for Administrators Forum and Board Member Exchange may be fully funded to attend.

Confirmed by the Executive Committee April 1995. Revised by the Board of Directors September 1998, January 2002, November 2010, August 2012, January 2016, April 2016, January 2017, January 2019, January 2020, April 2021, August 2022.

I.10. TRAVEL ARRANGEMENTS AND EXPENSES

INTRODUCTION:

The Association is committed to providing for travel expenses incurred while conducting Association business. This includes attending Association meetings and representing the Association at other functions. This travel policy shall apply to any attendee funded by ASWB to attend an in-person meeting or event. A meeting notice will be made available prior to any ASWB-related event. The notice will include the date, time, location, and travel days covered by ASWB as well as instructions for making travel arrangements.

POLICY:

Reimbursement

1. All travel must be approved through the Association office if the Association is to be billed for the expense or is expected to reimburse the expense.
2. Requests for reimbursement must be accompanied by the current ASWB Request for Reimbursement of Travel Expenses form. Itemized receipts for hotel, ground transportation, rental car, parking, and meal expenses must accompany the form for the expenses to be reimbursed.
3. Requests for reimbursement should be made as soon as possible but in all cases within 30 days of the time when the expenses were incurred. Reimbursement shall not be made for requests received after the close of the fiscal year for expenses incurred during that fiscal year.
4. Reimbursement shall be made for hotel room and taxes. Incidental expenses such as in-room movies, minibar charges, laundry, or cleaning services shall not be reimbursed.
5. When arranging for ASWB-related events, hotel accommodations shall be made using blocks of rooms designated for the event. When travel is for other approved purposes, individual hotel accommodations must be made at the most reasonable rate, either through the Association office or with the approval of the Association office.
6. **Accompanying Guests**: Any costs incurred by additional persons accompanying a funded participant shall be the responsibility of the person being funded. These costs include any meals taken in the hotel, with the exception of opening dinners at the Annual Meeting of the Delegate Assembly or the Association Education Meeting, for which the Association shall fully fund all attendees and their guests. Attendees who wish to bring a guest to any other meals sponsored by the Association must notify the Association of this intent at least two weeks before the event. The cost of meals shall be billed to the attendee according to #12 of this policy.

Hotel and Airfare

7. Accommodations and meals shall be funded for only those days and hotel nights necessary for the participant to attend ASWB-related business and meetings/sessions.
    a. Additional days or nights shall be at the participant's expense. In instances where travel cannot be scheduled to permit complete attendance, decisions on additional funded lodging and meals will be made by the Association on a case-by-case basis.
    b. Funded attendees who indicate on their registration form that they plan to attend preconference sessions will be funded to arrive the day before the meeting begins. Attendees who arrive in time to attend a preconference session but do not attend will be invoiced for any additional cost incurred.
    c. If the hotel charges for internet access, the cost shall be reimbursed only for days associated with ASWB business.

8. Airline and train tickets must be purchased through the travel agency selected by the Association and charged to the Association's corporate account. To get the most economical rates, all airline tickets should be purchased at the earliest possible time but in all cases no less than 30 days in advance of previously scheduled meetings.

    a. Changing or canceling an existing airline or lodging reservation incurs a considerable cost to the Association. Before booking, travelers should carefully consider personal situations that may affect their travel plans to avoid the need for a change or cancellation. In the extenuating circumstance requiring a change or cancellation, the traveler must contact the Association before making a change or cancellation. In the case of an unexpected change while traveling, the traveler will be responsible for paying for the change. Change costs will be reimbursed on a case-by-case basis. In the case of a cancellation, every effort will be made to apply the cost of an unused ticket to future ASWB-associated travel.

    b. The Association shall reimburse up to the standard cost for one piece of checked luggage per flight, accompanied by receipt.

Ground Transportation, Car Rental, and Parking

9. If a personal vehicle is used instead of air or rail transportation, reimbursement shall be at the current U.S. federal government rate for mileage, up to the cost of the lowest round-trip airfare.

10. Travelers are expected to take the least expensive means of ground transportation to and from the airport. Mileage will be reimbursed at the U.S. federal government rate when using a personal vehicle.

11. A rental vehicle may be used for transportation in conjunction with ASWB meetings.

    a. With prior approval by ASWB staff, automobile rental will be reimbursed up to the cost of the lowest round-trip airfare.

    b. Rental vehicles for personal use shall be reimbursed up to the cost of the average round-trip ground transportation to and from the airport. Hotel parking will not be reimbursed for rental vehicles for personal use.

        i. When renting vehicles in the course of Association business, ASWB will cover the cost of collision and damage insurance offered by the rental car agency to protect travelers and their own personal auto insurance.

        ii. Members of the Board of Directors and other ASWB credit card holders do not need to take additional insurance, provided they use the corporate credit card issued to them by the Association to pay for the rental.

        iii. Hotel and airport parking charges shall be reimbursed only for days associated with ASWB business excluding parking for personal use vehicles.

Meals

12. Three meals per day shall be provided or reimbursed not to exceed $115 per day for the duration of the meeting. The cost of food must be kept comparable to what meal expenses would be if the costs were personal. In cases where some meals are provided by the Association during the meeting, remaining meals will be reimbursed as follows: breakfast, not to exceed $25; lunch, not to exceed $30; and dinner, not to exceed $60. For those attendees who choose to extend their stay on either side of the meeting, the meal allowance will apply only on the official travel days as designated by the Association office.

a. Alcoholic beverages consumed with meals will be reimbursed as long as the total cost does not exceed the meal expenses outlined above. ASWB reserves the right to decline reimbursement for alcohol in excess.

Tips and Activities

13. Reasonable tips for luggage service, transportation providers, food servers, etc., are reimbursable when itemized.
14. The Association shall not reimburse or directly pay participants for any special activities that may take place during a meeting, such as sightseeing tours.
15. Travelers should consult with their cell phone provider to ensure their plan will cover international phone usage. International phone charges may be reimbursed at the discretion of ASWB.

Risk Acknowledgment

16. Individuals who voluntarily participate in and/or travel to ASWB events understand:
    a. There are potential risks inherent in participation in ASWB events, and these potential risks include but are not limited to travel to and from the event; local travel within the event city or region; consumption of food; weather conditions; contagious diseases; terrorism; negligent first-aid operations or procedures; and other risks that are unknown in advance.
    b. ASWB is not responsible for any property loss or damage, illness, personal injury, or even death as a consequence of the actions, inactions, or negligence of volunteers or others, travel, weather conditions, contagious diseases, and other risks.
    c. Volunteers are responsible for disclosing to ASWB any physical, mental, and/or emotional conditions or problems, permanent or temporary, that might impair the volunteer's ability to participate, including special dietary and medication needs or the need for visual or auditory aids.

Confirmed by the Executive Committee April 1995; revised October 1995. Revised by the Board of Directors September 1998, April 2002, May 2003, October 2004, April 2005, February 2007, August 2007, August 2010, January 2011, August 2012, January 2014, January 2016, April 2016, January 2017, January 2018, January 2019, January 2020, August 2020, April 2021, April 2022.

I.11. ASSOCIATION SERVICE AWARDS PROGRAM

INTRODUCTION:

Regulation of the practice of social work in the Association's member jurisdictions is done in great part by volunteer Member Board members and Member Board staff in each jurisdiction. Additionally, there are individuals who make major contributions to public protection but who are not ASWB Member Board members or staff. Because these individuals' efforts advance social work regulation and its public protection mission, the Association has established a Service Awards Program in recognition of those contributions.

POLICY:

1. Each year the Association shall publicly acknowledge Member Board members, administrators, and staff of social work regulatory boards who have demonstrated extraordinary commitment to public protection in work with their boards. Recipients may be nominated by any member or staff member of an ASWB Member Board, a member of the ASWB Board of Directors, or an ASWB staff member.
    a. The Member Board member award is called the **Sunny Andrews Award**. Award criteria include demonstrating extraordinary commitment to board service in the following areas:
        i. Upholding the integrity of an ASWB Member Board's functioning and processes
        ii. Enforcing the ethical performance of an ASWB Member Board
        iii. Giving selflessly of personal time and effort to support the work of an ASWB Member Board
    b. The Member Board staff award is called the **Glenda McDonald Award**. Award criteria include demonstrating extraordinary commitment to board service in the following areas:
        i. Promoting the ethical, responsible, and effective functioning of a Member Board
        ii. Facilitating a fair, efficient, and responsible process for legal regulation in a member jurisdiction or on behalf of a Member Board
        iii. Educating the public and the profession about legal regulation
    c. The Association may publicly acknowledge an educator or entity for significant contributions to social work regulatory education and the mission of protection of the public. This award is called the **Educational Excellence in Regulation Award**. Award criteria are based on the following:
        i. The recipient will exhibit exemplary contributions to the social work regulatory community;
        ii. The recipient must be a faculty member (including emeritus), higher education administrator, institution, or organization; and
        iii. Individual recipients must currently hold a social work license in good standing or, if retired, have held a social work license in good standing during their tenure.
    d. The ASWB Board of Directors shall review all award nominations received before the designated award submission deadline and make one selection per award based on who, in its judgment, best meets each award's criteria. The Board of Directors shall keep all nomination information confidential.
    e. When warranted, the Association may publicly acknowledge an individual who is not a Member Board member or staff member for significant contributions that advance social work regulation and its public protection mission. ASWB staff shall identify and select the recipient of the award, and the ASWB President shall approve the recipient after receiving input and approval from the ASWB Board of Directors. The award is called the **ASWB Contributor Award**. Award criteria include demonstrating

extraordinary support of or contribution to the regulation of the profession of social work through activities such as:

i. Involvement in regulation as a legislator
ii. Authorship of published research related to social work regulation
iii. Advocacy for the regulation of the social work profession
iv. Education of the public and the profession on the importance of regulation in the protection of the public

2. The Sunny Andrews Award and the Glenda McDonald Award shall be presented at the Annual Meeting of the Delegate Assembly. The annual Educational Excellence in Regulation Award and ASWB Contributor Award (when awarded) will be presented at the ASWB Education Meeting. The Association may fund recipients' travel to attend the meeting at which the awards are presented, according to ASWB travel policies.

Adopted October 2002. Revised by the Board of Directors August 2012, January 2016, January 2018, January 2019, April 2021, April 2022.

I.12. VOLUNTEER RECOGNITION

INTRODUCTION:

The Association was founded by the efforts of unpaid volunteers who were willing to give their time and effort to begin an association that would help its Member Boards to do the best possible job of social work regulation. Almost all the Association's programs, from the examinations on, began with volunteer ideas and volunteer work.

While there is no way to compensate people appropriately for this work, the Association shall offer public recognition and awards to those who serve each year.

POLICY:

1. Each year, the Association shall recognize volunteers who have served the Association.
2. Those who serve on committees, task forces, and the ASWB Board of Directors shall be recognized for their service during the Annual Meeting of the Delegate Assembly during the year they serve and will receive an award after their work on a particular body is completed.
3. Since the Examination Committee does intense work for the Association, with multiple meetings each year, members will receive special awards unique to that committee. Members will be given the awards during one of the final Examination Committee meetings of the year, after they have served their appointed term.
4. Because members of the Regulatory Education and Leadership (REAL) Committee are appointed to a one-year term, they will receive their awards at the Association Education Meeting that they are charged with planning or in May if no meeting is held.

Adopted October 2002. Revised October 2004, August 2012, January 2016, January 2017, January 2019.

I.13. CODE OF CONDUCT

INTRODUCTION:

The Association is guided by and committed to living its corporate values. These core values are: Respect, Accountability, Integrity, Service, and Excellence, forming the acronym RAISE.

Consistent ethical behavior is expected of members of the Board of Directors, volunteers and committee and task force members, and consultants (collectively referred to as "ASWB representatives"). Such behavior includes protecting the validity of the social work licensing examinations and conducting any business and/or providing volunteer service on behalf of the Association by adhering to the principles of confidentiality and signed confidentiality statements. ASWB staff conduct is governed by ASWB Personnel Policies.

POLICY:

1. By accepting positions on the Board of Directors, as volunteers, or as committee or task force members, all ASWB representatives commit to a duty of loyalty stipulating that while serving in these positions, they will act in the best interest of the association.
    a. Interests supporting the whole organization supersede individual interests and agendas.
    b. Before accepting an ASWB representative position, the volunteer will disclose personal interests that conflict with the association's mission, vision and long-term viability.
    c. Volunteers will refrain from participating in decisions where personal interests conflict with those of the association.
    d. Volunteers will resign immediately from the position when it is apparent that personal and organizational interests conflict.
        i. Where there is a difference in the determination of a conflict with the commitment to a duty of loyalty, the Board of Directors' determination takes precedence.
        ii. It is at the Board of Directors' discretion to offer resignation or removal options to the individual who through due diligence has been determined to have breached their duty of loyalty.
2. All ASWB representatives shall perform their work in an ethical and honest manner regarding ASWB business, operations, policies, and procedures. They shall be responsible for:
    a. Performing their responsibilities, services, and activities ethically, competently, efficiently, and honestly, in keeping with Association policies and applicable federal, state, and local laws
    b. Adhering to the fiduciary responsibilities of their role in the Association and safeguarding the physical and financial resources of the Association
    c. Avoiding dishonesty, including fraud, theft, lying, or misuse of Association funds or property to include technology and credit cards.
        i. Any reported acts of dishonesty shall be investigated and, if necessary, reported to the CEO, the Board of Directors, and/or law enforcement authorities. Penalties for dishonesty may include immediate termination of volunteer service with the Association.
3. Confidentiality agreements must be executed by all ASWB representatives to protect the business and financial affairs of the Association, particularly in regard to the examination program.
4. ASWB representatives shall communicate and interact with professionalism and civility on behalf of the Association.

5. ASWB representatives shall conduct themselves without personal conflicts or the appearance of impropriety or by exercising undue influence over ASWB staff and others.
6. ASWB representatives should be mindful of the possibility for potential, perceived, and actual conflicts of interest and shall disclose these conflicts as requested by ASWB. If a member of the ASWB Board of Directors or any other volunteer becomes aware of such a conflict, the appropriate course of action may be to recuse (sit out) or resign (withdraw completely).
7. When approached by news media, social media outlets, magazines, books, or other online or digital channels about the Association, ASWB representatives shall respond on behalf of the Association only if authorized by the CEO or the CEO's representative; otherwise, ASWB representatives shall advise media representatives to send their inquiries to info@aswb.org, subject: media contact. Refer to Policy I.15, Social Media, and Policy I.16, Media Relations, for additional guidance.
8. 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 representative who makes a good faith report of wrongdoing.

Adopted by the Board of Directors, April 23, 2009; revised August 2012, January 2016, January 2017, January 2018, April 2019, April 2022, August 2026.

I.14. ASWB MEETING CONDUCT

INTRODUCTION:

To ensure ASWB events are safe, inclusive, and enjoyable, the Association expects all participants in ASWB meetings to demonstrate ethical behavior. ASWB is guided by and committed to living its core values: Respect, Accountability, Integrity, Service, and Excellence. We strive to create an inclusive culture that welcomes diverse perspectives shared through respectful discourse. All ASWB meeting attendees should communicate with professionalism and civility. These expectations apply to all ASWB staff, volunteers, speakers, hotel and vendor personnel, and attendees.

POLICY:

1. Harassment is defined as unwelcome behavior that disturbs, intimidates, or bothers other participants, including:
    a. Making offensive comments related to gender, sexual orientation, disability, physical appearance, body size, race, or religion
    b. Subjecting others to inappropriate or unwanted sexual attention, including sharing sexual images
    c. Persistently disrupting meetings or events
    d. Engaging in deliberate intimidation
2. Conduct violations may be reported to any ASWB staff member at the meeting or may be reported via email veo@aswb.org to initiate action addressing the issue.
3. ASWB Conduct Violation Response: ASWB expects anyone asked to stop harassing behavior to do so immediately. ASWB staff will address the incident with both parties and do whatever is necessary to ensure that attendees feel safe for the duration of the meeting. ASWB staff and/or the ASWB Board of Directors will take actions in response to reported harassment that may include:
    a. Warning the individual not to repeat the behavior
    b. Expelling the individual from the virtual or live event
    c. Blocking the individual from online platforms
    d. Reporting the incident to law enforcement
    e. Banning the individual from future ASWB events
    f. Removing the individual from any volunteer role with ASWB

Adopted by the Board of Directors, August 2026.

I.15. 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. ASWB staff conduct on social media is governed by ASWB Personnel Policies. Any mention of ASWB or of an association with ASWB must be done appropriately and with care for the accuracy and suitability of comments. The Association recognizes the benefits of social media as an important tool of engagement and enrichment for its Member Board members and staff, Board of 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. For purposes of this policy, social media includes but is not limited to video or wiki postings; posts on sites including but not limited to chat rooms, personal and professional networking platforms, photo sharing services, personal or professional blogs, online journals, or personal newsletters not affiliated with ASWB.
2. This policy includes anything posted online where information is shared that might affect Member Board members or staff, the ASWB Board of Directors, or the Association as a whole. It applies to Association Member Board members and 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.
    a. The goal of authorized social media use is to become a part of the industry conversation, promote sharing of ideas and exchange of relevant information, and discuss ASWB-specific activities and events.
    b. ASWB representatives are responsible for ensuring that all social media use complies with ASWB's written policies.
    c. ASWB representatives who engage in social media use must understand that some readers may view the individual as a spokesperson for ASWB. Therefore, members posting or commenting on matters related to the Association must state that views expressed in their blogs or on social media platforms are their own and not those of the Association or of any person or organization affiliated with or doing business with ASWB.
    d. Unless specifically authorized to represent the Association as spokespersons, members are prohibited from speaking on behalf of ASWB. If contacted by the media or press about a blog post or commentary they published that relates to ASWB, members are required to direct such inquiry to info@aswb.org, subject: media contact.
3. When using the internet for professional or personal pursuits, ASWB representatives should take care to follow certain guidelines to ensure that ASWB's intellectual property, confidential information, and the reputation of ASWB as a whole are protected.
4. Any use of social media by ASWB representatives must not contain information that is confidential or in any way sensitive about ASWB or its members.

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 Board 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 media sites allow photographs, videos, and comments to be shared with potentially millions 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 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 Boards. Representatives should report any known or suspected breach of this policy to the Association office.

Adopted by the Board of Directors August 2012. Revised January 2016, January 2017, April 2019, April 2022.

I.16. MEDIA RELATIONS

INTRODUCTION:

The Association recognizes the benefits of news media, social media, publishers, conferences, and other information outlets (collectively, "the media") as important avenues for engagement to increase awareness of ASWB, its mission, and its activities. This policy is intended to protect the interests of the Association and its members by defining the requirements related to interacting with the media to ensure consistency of messaging, accuracy, fairness, and timeliness. Individuals contacted by media representatives about ASWB or their affiliation with the Association must respond appropriately to protect the reputation and brand of ASWB. Policy I.15, Social Media, offers additional guidance.

This policy applies to ASWB Member Board members and staff, ASWB Board of Directors, volunteers, and any individuals representing themselves as agents of ASWB (collectively, "ASWB representatives"). ASWB staff interactions with media are governed by ASWB Personnel Policies. When individuals clearly identify an affiliation with ASWB and interact with media representatives, they are expected to behave and express themselves appropriately and in ways that are consistent with ASWB's stated values and policies.

POLICY:

1. The ASWB CEO or the CEO's designated representative is the spokesperson for the Association. Designated representatives serving as ASWB spokespeople may include officers currently serving on the Board of Directors (President, Past President, President Elect, Secretary, and Treasurer), ASWB Senior Directors, and the Director of Public Relations and Communications Strategy. In certain instances, other designated representatives may be identified by the ASWB CEO and the Director of Public Relations and Communications Strategy.
2. The Director of Public Relations and Communications Strategy is the designated point of contact for all media inquiries. The Director of Public Relations and Communications Strategy is responsible for all official Association interactions with media sources, including coordination of information relating to general news or topics requiring an institutional response.
3. The Public Relations and Communications Strategy department is responsible for issuing press releases and other materials requested by media representatives, developing materials in response to media requests, and providing oversight of communications and marketing projects in all forms across the Association.
4. Individuals contacted by the media about the Association may not respond on behalf of ASWB or as if they are spokespersons for ASWB unless authorized by the ASWB CEO, the Director of Public Relations and Communications Strategy, or the CEO's designated representative.
5. Media representatives should be advised to send their inquiries to info@aswb.org, subject: media contact.
6. ASWB representatives who speak to the media or provide written comments through print, online, or digital media channels on issues related to ASWB, its membership, the examinations, or regulation and licensure in general should make it clear during the interview or in the commentary that they are stating personal views and are not expressing the formal position of ASWB unless they are authorized by the CEO or the CEO's designated representative to serve as a spokesperson for the Association.
    a. Any such media interaction must not contain, or link to, information that is confidential or in any way sensitive about ASWB or its members.

b. For tracking purposes, volunteers must notify ASWB's Director of Public Relations and Communications Strategy before providing personal commentary or responding to a personal interview request and must forward a copy of all such commentary to ASWB.

7. ASWB representatives who present at conferences on issues related to ASWB, its membership, the examinations, or regulation and licensure in general should notify ASWB in advance of the opportunity so that ASWB can provide appropriately branded presentation materials, offer necessary support with preparation, and review content for accuracy and branding, as needed.
8. Individuals may not use their role with ASWB, its name, imagery, brand, trademarks, or logos to promote or endorse any product, opinion, cause, political party or candidate, or religion. The ASWB name, imagery, brand, trademarks, or logos also may not be used for commercial endorsements or for personal benefit. Any such endorsements must clearly be portrayed as representative of the individual and must include a disclaimer that the views represented are not those of ASWB.
9. Individuals must observe the copyright and intellectual property rights of others and of ASWB. Individuals are expected to follow copyright and compliance laws and guidelines when applicable and not use copyrighted images, text, or software without permission or in violation of the copyright laws of the United States and Canada. It is acceptable to use Facebook, Instagram, LinkedIn, Reddit, TikTok, X (formerly Twitter), and other social media platforms to share content.
10. Failure to observe 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 engagement as a representative of the Association. Individuals should report any known or suspected breach of this policy to the Association office.

Adopted January 2019. Revised April 2019, April 2022.

I.17. 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 approved providers of social work continuing education as well as individual course approvals.

POLICY:

1. ACE allows Member Boards that accept ACE approval the opportunity to be relieved from the need to review every provider and/or individual course offering in detail for themselves.
2. Approved providers are held to the high standards applied by ACE.
3. A provider of continuing education for social workers or an individual social work continuing education course that receives ACE approval has met consistent, rigorous standards, guided by the Association's mission of public protection.
    a. Provider approval evaluates organizations for their ability to provide high-quality course offerings for social work continuing education credit.
    b. Individual course/conference approval evaluates individual courses and conferences and approves them for licensees to earn continuing education credit.
4. Continuing education organizations seeking ACE approval must complete an application and shall be evaluated according to ACE program standards and criteria.
5. The ASWB Board of Directors shall be informed on a quarterly basis of those providers and individual courses/conferences that have met ACE standards in the quarter.
6. Providers who 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.
7. Member Boards that choose to recognize ACE providers may do so by referencing the ASWB ACE program and its standards and criteria in their jurisdictional regulations.

Approved by the Board of Directors August 18, 2001. Revised August 2012, April 2016, January 2017, January 2018, April 2022, August 2026.

I.18. 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, which is the reason the action was taken. 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 due to the passage of time. However, an action can be removed if required by the reporting jurisdiction in certain circumstances, such as the action being reported in error or subsequently being overturned by the reporting jurisdiction. 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, August 2026.

II GOVERNANCE AND LEADERSHIP

II.1. BOARD OF DIRECTORS STANDARDS OF GOOD GOVERNANCE 27
II.2. BOARD OF DIRECTORS AGENDA 30
II.3. BOARD OF DIRECTORS CONDUCT OF BUSINESS 31
II.4. BOARD OF DIRECTORS CONSENT AGENDA 32
II.5. EVALUATION OF THE CHIEF EXECUTIVE OFFICER 33
II.6. WHISTLEBLOWER PROTECTION 34
II.7. EXTERNAL REPRESENTATION 35

II.1. BOARD OF DIRECTORS STANDARDS OF GOOD GOVERNANCE

INTRODUCTION:

Standards of good governance promote ethical, courteous, businesslike, and lawful conduct, including appropriate use of authority and decorum while serving as an elected member of the Board of Directors. ASWB Board members are committed to excellence in the work of the Board and act in the interest of all ASWB members. These standards govern the conduct of ASWB Board members and serve as a guide for making ethical decisions.

The ASWB Board of Directors will review these standards annually and approve necessary changes. These standards are complemented by other ASWB governance documents, including the Oath of Office, Confidentiality Agreement, Code of Conduct policy (I.13), Media Relations policy (I.16), and Social Media policy (I.15).

POLICY:

1. Members of the ASWB Board of Directors bring skills, talents, and diverse perspectives to their work, strengthening Board deliberations and decision-making and ensuring that ASWB can better achieve its mission.
    a. Board members embrace ASWB's culture of inclusion to ensure that all Board members are equally engaged and invested, sharing power and responsibility for the mission and the Board's governance work.
    b. Board members cultivate a culture of inquiry by enlisting differences of opinion, unique vantage points, areas of interest, and informed, generative questions to promote strong collective wisdom.
2. Members of the ASWB Board of Directors have an obligation to know their duties and perform them responsibly.
    a. Board members act honestly, in good faith, and in the best interest of the Association of Social Work Boards, always placing the interest of the Association ahead of their own interest. This means disclosing any conflicts of interest and not using their board service as a means for personal or commercial gain either during or after their term ends.
    b. Board members abide by applicable laws and regulations; follow the Association bylaws, policies, and other Association documents; adhere to ASWB's stated mission; and behave and express themselves appropriately and in ways that are consistent with ASWB's stated values and policies.
    c. Board members review all documents in advance of meetings and come prepared to discuss all business. Board members vote on matters that come before them except where conflict of interest precludes voting on an issue.
    d. Board members act with individual conviction, respect the ASWB Board's collective decision-making, and support majority decisions.
3. Members of the ASWB Board of Directors must fully disclose potential, perceived, or actual conflicts of interest. This accountability supersedes any conflicting loyalty that a Board member might have as advocate, individual consumer, supporter of specific interest groups, member of this or another board, or employee of another organization. A Board member who knowingly fails to disclose a conflict of interest may be asked to resign, and the Board President may set aside any action taken as a result of the conflicted Board member's participation.
    a. The Board member shall disclose the potential conflict of interest to the ASWB Board President as soon as the Board member becomes aware of it.
    b. The Board President shall evaluate the potential conflict in consultation with the CEO and/or Board attorney to determine the best course of action.
    c. In all cases, the conflict will be resolved in the best interest of ASWB.

4. Members of the ASWB Board of Directors must have a signed confidentiality agreement on file and adhere to its provisions. ASWB Board members must maintain the privacy and confidentiality of all information discussed in executive session, related to the examination program, and pertaining to business and personnel matters of the Association where required by the bylaws, the ASWB Board of Directors, the confidentiality agreement, or ASWB policies. Information obtained in the course of Board business shall not be used for personal benefit or released to inappropriate parties.
5. Members of the ASWB Board of Directors may not work as an item writer during their service on the ASWB Board. For a period of three years after rotation off the Board of Directors, Board members are prohibited from teaching an examination preparatory course, writing about or presenting on the ASWB examinations, or providing individualized instruction in relation to taking the ASWB examinations. Board members are prohibited perpetually from revealing examination item content.
6. Members of the ASWB Board of Directors shall not circumvent established lines of authority or interfere in the business procedures established by the Board President or ASWB's Chief Executive Officer in the management of ASWB. ASWB Board members shall not interfere with operational activities and decisions that are the responsibility of management, except to monitor the results and ensure that procedures are consistent with ASWB policy.
7. Members of the ASWB Board of Directors must understand and adhere to Policy I.16, Media Relations.
    a. Board members contacted by media representatives concerning ASWB or the Board member's affiliation with the Association must respond appropriately to protect the reputation and brand of ASWB.
    b. The ASWB CEO or the CEO's designated representative is the spokesperson for the Association.
    c. Board members contacted by the media concerning the Association should advise media representatives to send their inquiries to info@aswb.org, subject: media contact.

6 Members of the ASWB Board of Directors who present at conferences or meetings on issues related to ASWB, including the examinations, licensing, and regulation in general, must notify the Association in advance so that ASWB can provide appropriately branded presentation materials and review content for accuracy and branding.

7 Members of the ASWB Board of Directors who are involved in areas defined as social media must understand and adhere to Policy 1.15, Social Media.

    a. Any use of social media by ASWB Board members must not contain information that is confidential or in any way sensitive about ASWB or its members.
    b. Board members should not appear publicly in inappropriate situations that might result in photographs, videos, or other social media content that would be controversial for ASWB if the activity could be in any way be linked to the individual's role as a Board member.
    c. Board members should be aware that sharing photographs, videos, and comments related to private ASWB events on personal social media pages could potentially breach the privacy rights of others. For this reason, Board members should share or post such information only when ASWB has encouraged them to or when they have sought and been given consent.

8 Members of the ASWB Board of Directors may not use the ASWB brand, imagery, trademarks, or logos to endorse or promote any product, opinion, cause, political candidate or party, or religion. Any such endorsements must clearly be portrayed as representative of the individual and not representative of the views of the ASWB.

9 ASWB is committed to a workplace that is free of harassment based on race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, family responsibility, disability, pregnancy, political affiliation, veteran status, or any other status protected by applicable law.

Harassment in volunteerism is prohibited in the boardroom, off premises, and at social activities sponsored by the Association.

a. The Board of Directors shall uphold its statement regarding dismantling institutional biases: "ASWB commits to promoting and upholding equity and justice. In doing so, the Association will hold itself accountable in denouncing racism, intolerance, exclusion, and other forms of discrimination and bias in carrying out its mission."
b. Members of the ASWB Board of Directors shall comply with ASWB's policies related to anti-harassment. Violations of the policy will result in disciplinary action.
c. ASWB will not condone any harassment of its Board members by vendors or other outside entities dealing with the Association.

Adopted April 2019. Revised January 2020, April 2022.

II.2. BOARD OF DIRECTORS AGENDA

INTRODUCTION:

The Board of Directors shall meet as scheduled at the Annual Meeting of the Delegate Assembly and the Association Education Meeting and at other times as needed during the year. The Board of Directors also shall conduct business as needed by conference call or through other electronic means, with an established agenda.

POLICY:

1. The President, in partnership with the Chief Executive Officer, is responsible for preparing the agenda for the Board of Directors meetings.
2. A tentative Board of Directors agenda shall be forwarded to Member Boards no less than 30 days prior to the meeting.
3. The proposed agenda and written material shall be forwarded to Board of Directors members in advance of the next meeting.
4. Members of the Board of Directors may generate an agenda item for the next Board meeting at least 30 days prior to that meeting. Items must be directed to the Board President for approval. At the discretion of the Board President, urgent items may be added to the agenda and discussed as time permits.

Adopted April 12–13, 1990. Confirmed by the Executive Committee April 1995. Revised by the Board of Directors September 1998, October 2004, August 2012, January 2016, January 2017, January 2018, January 2019, January 2020.

II.3. BOARD OF DIRECTORS CONDUCT OF BUSINESS

INTRODUCTION:

The Board of Directors conducts the business of the Association in accordance with ASWB Bylaws and structures its meetings, discussions, and voting processes in ways that emphasize full participation and consensus while supporting diverse viewpoints.

POLICY:

1. The President shall act as presiding officer for all Board meetings. The President-Elect/Past President shall act as presiding officer in the President's absence. In the absence of both the President and President-Elect/Past President, presiding officer duties shall be assumed by, in order, the Secretary and the Treasurer.
2. The presiding officer shall refrain from making motions or offering seconds and shall cast votes on motions only in the case of a tie or in situations in which a majority vote would be otherwise unobtainable due to the number of Board members present. The presiding officer shall ask the Secretary to read the motion prior to Board members casting their votes.
3. All Board decisions shall be recorded in minutes as consensus decisions. Vote counts, dissenting votes, and abstentions will be recorded only at the request of the presiding officer or the dissenting/abstaining Board member(s).
4. Board actions taken through electronic meetings shall be reviewed and confirmed at a subsequent in-person meeting of the Board of Directors.

Approved by the Board of Directors May 2010. Revised August 2012, January 2016, January 2017, January 2018.

II.4. BOARD OF DIRECTORS CONSENT AGENDA

INTRODUCTION:

To expedite the conduct of routine business during Board meetings, the Board of Directors has adopted a consent agenda to allocate more meeting time to discussion of substantive issues.

POLICY:

1. A consent agenda may be presented by the President.
2. The consent agenda shall consist of routine financial, legal, and administrative matters.
3. Consent agenda items are expected to be noncontroversial and require no discussion. The following items would be suitable for the consent agenda:
   a. Approval of previous Board and committee minutes;
   b. Committee and staff reports;
   c. Updates or background reports provided for informational purposes only;
   d. Correspondence requiring no action;
   e. Confirmation of *pro forma* items or actions that need no discussion but are required by the bylaws;
   f. Dates of future meetings;
4. Items may be removed from the consent agenda at the request of any one Board member. Items not removed may be adopted by general consent without debate. Removed items may be taken up either immediately after the consent agenda or placed later on the agenda at the discretion of the President.
5. The consent agenda shall be voted on in a single majority vote, but it may be divided into several, separate items.
6. All supporting materials for the consent agenda shall be sent to Board members at least one week in advance of the Board meeting.

Approved by the Board of Directors August 2013. Revised January 2016, January 2018.

II.5. EVALUATION OF THE CHIEF EXECUTIVE OFFICER

INTRODUCTION:

Evaluation of the Chief Executive Officer (CEO) is a critical process for the success of the CEO and the Association, and it is an essential function of the Board of Directors. The objectives of the evaluation and this policy are to:

- Assist the Board of Directors in arriving at and communicating clear and meaningful goals and performance targets for the CEO.
- Ensure that the CEO receives meaningful, objective, and timely feedback that will allow them to perform, over time, at the highest levels possible.
- Support an effective working relationship between the Board of Directors and the CEO.
- Enable the Board of Directors to hold the CEO accountable for performance.

POLICY:

1. The annual CEO performance assessment and appraisal process is conducted on a calendar year schedule to align with the functions of the Association.
2. In January of each year, the Board President initiates the annual CEO performance appraisal process by asking the CEO to complete the following tasks:
   a. Conduct a self-appraisal using the Key Responsibilities Assessment for the previous period of January 1 to December 31.
   b. Complete/update the CEO's goals and objectives for the previous six months.
   c. Create new goals/objectives for the upcoming year
3. In January of each year, Human Resources staff asks each Board member to appraise the CEO's performance using the following forms:
   a. CEO's completed self-appraisal
   b. CEO's completed goals and objectives from January 1 to December 31
   c. Annual Summary Evaluation
4. In January of each year, Human Resources staff asks the CEO's direct reports to comment on the CEO's performance related to operational leadership and oversight using the following form:
   a. Key Responsibilities Assessment, operational leadership and oversight section only
5. Human Resources staff members collect the appraisals from all reviewers, compile responses, and prepare a summary to present to the Board President, who will share with the Board of Directors during Executive Session at the January Board of Directors meeting for approval.
6. The Board President and President-Elect/Past President meet afterward to incorporate any modifications requested by the Board, prepare feedback to share with the CEO, and finalize the annual performance assessment and appraisal.
7. The Board President and President-Elect/Past President schedule a time to meet with the CEO to share the performance assessment.

Approved by the Board of Directors April 1999. Revised October 2004, August 2012, January 2016, April 2016, August 2017, August 2018, November 2018, November 2019, January 2020, August 2026.

II.6. WHISTLEBLOWER PROTECTION

INTRODUCTION:

To ensure the maintenance of the highest standards of conduct and ethics, the Association encourages the reporting of and shall investigate any suspected fraudulent or dishonest use or misuse of Association resources or property by staff, volunteers, or consultants. Whistleblower protection is provided by federal laws that shield employees, volunteers, or consultants from retaliation for reporting illegal acts. An employer cannot retaliate in any way by demoting, suspending, terminating, or harassing the whistleblower.

POLICY:

1. A whistleblower is defined as any employee, contractor, or volunteer with the Association who wants to report any conduct or activity that the person believes is in breach of the Association Code of Ethics or of the law and who wants to avail him or herself of protection against reprisal for having made the report. A whistleblower may or may not elect to remain anonymous.
2. Any suspected fraudulent, dishonest, inappropriate, or illegal conduct involving the Association, its employees, volunteers, and contractors shall be reported to a supervisor or responsible staff member. The supervisor/staff member will in turn make a timely report to the Chief Executive Officer for investigation and resolution.
3. If reporting to a supervisor/staff member is not deemed adequate or feasible, would be futile (i.e., where activities may involve the individual to whom the report should be made), or if such a course has not produced a timely response, then staff, volunteers, and consultants are encouraged to report to the management and leadership of the Association in the following order: Chief Executive Officer, President of the ASWB Board of Directors, another officer of the Board of Directors, or another member of the Board of Directors.
4. All reports shall be promptly investigated by the appropriate authority. If wrongdoing is found, the guidelines of Policy I.13, Code of Conduct, shall be applied. In the event of a report that is made with reckless disregard for truth, the individual making such a report may be subject to disciplinary action by the Association or legal claims by the accused individual.
5. Any ASWB-related act or failure to act with the intention of obtaining unauthorized benefit for anyone should be reported. Examples are: forgery or alteration of documents; unauthorized alteration or manipulation of computer files; fraudulent financial reporting; violation of the confidentiality or conflict of interest policies; misuse of Association resources, such as funds, supplies, or other assets; authorization or receipt of compensation for hours not worked; or other illegal or inappropriate conduct.

Approved by the Board of Directors August 2009. Revised August 2012, January 2016, January 2017, January 2019, January 2020, April 2021.

II.7. EXTERNAL REPRESENTATION

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 staff, Member Board staff, members of Member Boards, or ASWB consultants may serve as liaisons to other organizations at the designation of the Board President in consultation with the Chief Executive Officer.
2. All requests for speakers, presenters, and liaisons must be made through the Association office. The Chief Executive Officer or the Board President in consultation with the CEO shall select the appropriate individual(s) for the event.
3. Upon approval by the ASWB Chief Executive Officer or the Board President in consultation with the CEO, the Association may pay all related expenses for the designated speaker, facilitator, or liaison in accordance with Policy I.10, Travel Arrangements and Expenses.
4. Financial assistance or reimbursement must be approved in advance.

Adopted by the Board of Directors November 1996; revised September 1998, October 2004, August 2012, January 2016, January 2017, January 2019, April 2022, August 2026.

III. THE EXAMINATIONS

III.1. PROCEDURES 37
III.2. EXAMINATION COMMITTEE 40
III.3. AD HOC EXAMINATION VOLUNTEERS 41
III.4. ITEM GENERATION 42
III.5. PRETESTING OF ITEMS 43
III.6. NONSTANDARD TESTING ARRANGEMENTS FOR PERSONS WITH DISABILITIES, HEALTH CONDITIONS, OR OTHER NEEDS 44
III.7. CANDIDATES WITH VISION IMPAIRMENTS 46
III.8. ENGLISH AS A SECOND LANGUAGE 48
III.9. STANDARDS AND CRITERIA FOR THE USE OF ASSISTIVE PERSONNEL IN ASWB EXAMINATIONS 49
III.10. CANCELLATIONS 52
III.11. EXAMINATION REVIEW 53
III.12. EXAMINATION SECURITY 54
III.13. SCORE TRANSFER 56
III.14. SHARING OF EXAMINATION DATA 57
III.15. EXAMINATION PROGRAM MONITORING 58

III.1. PROCEDURES

INTRODUCTION:

The fiduciary responsibility of the Association to its Member Boards demands that the Association maintain the validity, reliability, and security of the social work licensing examinations. Because an examination is valid only for its intended purpose, it is also the responsibility of the Association to define the purpose of each examination and support the appropriate use of the examinations by its Member Boards.

POLICY:

1. Only the Association and its Member Boards may authorize the use of Association examinations.
2. The Association will set standards for its examinations and shall establish test administration policies and procedures that shall be followed by all entities involved with the examination process.
3. Under the ASWB bylaws, Member Boards are required to comply with the examination policies to the extent an entry-level examination is required by law as a prerequisite to licensure. ASWB's Chief Executive Officer is authorized to execute contracts with jurisdictions for use of the Association's examinations if required by state or provincial law.
4. For purposes of evaluating candidates for licensure, Member Boards shall rely only on the official examination score reports as direct score reports or by way of official score transfers provided by ASWB. Candidates receive an unofficial score report after they complete their examinations. Score reports submitted directly by candidates are not official and are not acceptable for licensure purposes.
5. The testing service selected for the test administration shall enter into a contract with the Association. Standard ASWB examinations will be provided in an electronic testing format at centers acceptable to the Association in regard to location, staffing, and security.
    a. The term "Standard ASWB examinations" means that exams are provided in an electronic testing format and that test-takers are given 4 hours to complete the exam. The testing appointment includes 30 minutes for checking in and being seated. The total appointment time for standard ASWB examinations is 4 hours and 30 minutes.
    b. Test-takers are offered an optional scheduled 10-minute break during the social work licensing exams. The exam is divided into 2 61-question sections, each of which has a 2-hour time limit. Test-takers may take additional unscheduled breaks during their exam after notifying the testing proctor; the testing clock, however, does not stop during unscheduled breaks.
6. Any ASWB Member Board may request that a representative of the Association present an overview of the examination development and administrative processes to familiarize the Board with the defensibility and validity issues of the examination program. If it is deemed not to pose a threat to examination security or validity or to provide the basis for any other legal risks, the ASWB Board of Directors may, upon request, allow an ASWB Member Board to review an examination under secure conditions.
7. The categories of examinations offered shall be determined from the results of a practice analysis conducted every five to seven years.

8. The fee for the examinations shall be recommended by the Board of Directors and approved by the Delegate Assembly. Examination fees are paid by candidates at the time of their registration to test with ASWB.

9. Candidates may test no more frequently than every 90 days. A maximum of 2 waivers per candidate every 12 months may be permitted per examination category where permitted by a Member Board, when the candidate's raw score on the most recent examination is within ten (10) test items of the passing score. ASWB may request additional documentation as needed. Exceptions may be made on a case-by-case basis in the following circumstances:

    a. When there has been serious, documented malfunction with administration of the examination; or

    b. When a candidate requests to take an examination in a different examination category (this excludes switching between the Associate and Bachelors examinations, which share the same content)

10. ASWB will make necessary provisions for nonstandard testing arrangements according to applicable federal, state, provincial, and local legislation including but not limited to applicable laws related to individuals with disabilities in the United States and human rights legislation in Canada. All nonstandard testing arrangements require approval of the Association and must not fundamentally alter the exam or jeopardize exam security. The Association will make every reasonable effort to accommodate test candidates who have disabilities, health conditions, or other needs as defined in Policy III.6, Nonstandard Testing Arrangements for Persons with Disabilities, Health Conditions, or Other Needs.

11. ASWB staff and Member Board staff and board members may request to sit for an ASWB exam for purposes of learning about the exam process and security. All individuals who are interested in doing so must contact the Examination Administration Director at ASWB to request authorization to test. Before authorization is provided, all individuals testing must sign a confidentiality agreement. These scores are not maintained or counted in psychometric statistics.

12. The Association has defined the intended purpose of each examination as follows, and every candidate shall meet the following requirements prior to testing:

    a. *Associate.* This examination has been developed for use as a licensure requirement by Member Boards that issue licenses to non-social work–degreed applicants.

    b. *Bachelors.* This examination has been developed for use as a licensure requirement by Member Boards that issue to individuals with a BSW, upon entry to practice, licenses for basic generalist practice of Baccalaureate Social Work. Member Boards may approve for examination candidates who are in their final semester of the BSW program.

    c. *Masters.* This examination has been developed for use as a licensure requirement by Member Boards that issue to individuals with an MSW, upon entry to practice, licenses for Master's Social Work practice. The practice of Master's Social Work includes the application of specialized knowledge and advanced practice skills. Member Boards may approve for examination candidates who are in their final semester of the MSW program.

    d. *Advanced Generalist.* This examination has been developed for use as a licensure requirement by Member Boards that issue to individuals who have an MSW and two years (or commensurate experience as defined by the jurisdiction) of experience in non-clinical settings,

licenses for Advanced Generalist social work practice. Advanced Generalist social work occurs in nonclinical settings that may include macro-level practice. Member Boards may approve candidates for examination who are within six (6) months of completing supervised experience requirement.

e. *Clinical.* This examination has been developed for use as a licensure requirement by Member Boards that issue to individuals who have an MSW and two years (or commensurate experience as defined by the jurisdiction) of experience in clinical settings, licenses for the practice of Clinical Social Work. The practice of Clinical Social Work requires the application of specialized clinical knowledge and advanced clinical skills. Member Boards may approve candidates for examination who are within six (6) months of completing supervised experience requirement.

13. To ensure the legal defensibility of examination results, the Association reserves the right to limit access to and use of any ASWB examination only for those purpose(s) for which it is intended. The Association's support of the legal defensibility of its examinations is limited to use consistent with these policies and with the current practice analysis. Any Member Boards desiring to use the exam outside of this policy must apply for a waiver using a procedure approved by the ASWB Board of Directors.
14. The Association shall only register examination candidates who have applied to a Member Board for social work licensure, submitted themselves to the legal jurisdiction of the Member Board, and have been approved to take a specific category of examination by such Member Board. Member Boards shall enter/submit approvals to test through a secure board portal provided by ASWB. Member Boards shall provide instructions to approved candidates to visit the ASWB website for exam information.

Adopted 1980. Revised 1983, 1984, 1989, 1990, 1992, 1993, 1994; confirmed by the Executive Committee April 1995. Revised by the Board of Directors 1997, 1998, April 2001, November 2002, October 2004, August 2005, October 2005, November 2007, August 2008, October 2009, August 2010, May 2011, August 2011, August 2012, January 2016, January 2017, April 2019, January 2020, April 2021, April 2022, August 2026.

III.2. EXAMINATION COMMITTEE

INTRODUCTION:

The Association places great importance on development and administration of valid licensing examinations.

POLICY:

1. There shall be as many members of the Examination Committee as are needed to accomplish the work.
2. Members of the Examination Committee shall be appointed by the President to serve for a one-year period, renewable each year for two additional years. The President shall consult with ASWB Examination Development staff and the Examination Committee liaison on appointments and renewals. Membership will be designed to ensure stability. The President designates the chairs, as confirmed by the Board of Directors.
3. Appointees to the Examination Committee must be from jurisdictions with legal regulation of social work. Efforts will be made to achieve diversity in gender, race, and cultural and ethnic backgrounds when making appointments to the committee. This will help to ensure a broad range of thought and ideas from which to draw expertise and to eliminate as far as possible ethnic, cultural, or gender bias.
4. Appointees to the Examination Committee should have taken at least one social work licensing examination, be licensed in their jurisdiction, and be either a current practitioner or an active member of the faculty of a school of social work. Appointees must also have been trained as item writers. Whenever possible with the pool of appointees available, at least one member who is practicing and one member who is teaching at each examination designation shall be included in the composition of the committee. Efforts will be made to include a wide range of social work practice skills.
5. Before beginning service on the Examination Committee, a new member must sign a confidentiality agreement developed by the Association. This agreement shall include, but not be limited to, restrictions from teaching an examination preparatory course, providing individualized instruction in relation to taking the examination, or taking any category of the examination for which work has been performed for periods of time established in the agreement by the Association.
6. Members of the Examination Committee are prohibited perpetually from revealing specific item content.

Adopted 1983. Revised 1984; confirmed by the Executive Committee April 1995. Revised by the Board of Directors 1998, April 2001, April 2009, August 2009, August 2012, January 2016, January 2017.

III.3. AD HOC EXAMINATION VOLUNTEERS

INTRODUCTION:

The range of activities necessary to support the ASWB examination development program will at times require the use of additional volunteers to assist with various processes as needed. These ad hoc volunteers must function within limited roles and meet established requirements for participation.

POLICY:

1. All ad hoc volunteers must be emeritus members of the ASWB Examination Committee who have completed at least one three-year term of service on the Examination Committee.
2. All ad hoc volunteers must be from jurisdictions with legal regulation of social work, have taken at least one social work licensing exam, be licensed and in good standing in their jurisdictions, and be either a current practitioner or an active member of the faculty of a school of social work.
3. Before beginning service as an ad hoc volunteer, a new volunteer must sign a confidentiality agreement developed by the Association. This agreement shall include, but not be limited to, restrictions from teaching an examination preparatory course, providing individualized instruction in relation to taking the examination, or taking a category of the examination for which work has been performed for periods of time established in the agreement by the Association.
4. Ad hoc volunteers are prohibited perpetually from revealing specific item content.
5. Ad hoc volunteers will be engaged primarily in the review of examination forms for future release. Additionally, these volunteers may be called to serve as substitute members of the ASWB Examination Committee as needed.

Approved by the Board of Directors January 25, 2020. 2022.

III.4. ITEM GENERATION

INTRODUCTION:

It is essential that the Association have a reliable supply of high-quality items to submit to the Examination Committee for review and to be pretested for the item banks. Paid item writers write items and submit them electronically by protected means as designated by the Association, with consultants and staff providing additional editing. Items may occasionally come from other sources, but they will be held to the same rigorous review procedures.

POLICY:

1. New writers will be trained annually as needed.
2. All writers must:
    a. Have a degree in social work
    b. Hold a valid social work license or registration in good standing
    c. Be currently practicing or teaching social work classes
3. Each writer must attend an item writer training workshop and will then work by submitting items electronically.
4. Each writer must enter into a contract with the Association to produce a specific number of original items per contract. Writers may be paid up to $500 per 10-item contract, and contracts are renewable depending on the item writer's success. Items will be due on a periodic basis.
5. Items may be reviewed by item development consultants and staff for editing as needed before and after going to the Examination Committee for review.
6. Confidentiality agreements as developed by the Association must be signed by all item writers.

Adopted 1984. Confirmed by the Executive Committee April 1995. Revised by the Board of Directors 1998, April 2001, August 2009, August 2012, January 2016, January 2017, January 2018.

III.5. PRETESTING OF ITEMS

INTRODUCTION:

Items shall be pretested and analyzed to be sure they are appropriate for use in the examination.

POLICY:

1. The Association shall pretest exam items at a psychometrically acceptable rate.
2. Pretest items are to be mixed in with the regular exam questions.
3. Information about pretesting shall be published in the ASWB Examination Guidebook and on the Association website.

Adopted August 9, 1991. Confirmed by the Executive Committee April 1995. Revised by the Board of Directors 1998; confirmed April 2001; revised August 2009, August 2012, January 2016, January 2017, January 2020, April 2022.

III.6. NONSTANDARD TESTING ARRANGEMENTS FOR PERSONS WITH DISABILITIES, HEALTH CONDITIONS, OR OTHER NEEDS

INTRODUCTION:

The Association is committed to ensuring access to its examination program for all eligible candidates, while ensuring the validity and security of the examinations. The Association will make necessary provisions for individuals with disabilities, health conditions, or other needs. Nonstandard testing arrangements cannot breach security or alter the validity of the examination to test minimum competencies.

POLICY:

1. The Association will make all necessary determinations of reasonable and appropriate arrangements, including those provided under applicable law related to individuals with disabilities in the United States and human rights legislation in Canada. Candidates must submit the appropriate request form for consideration. All arrangements require approval of the Association and must not fundamentally alter the exam or jeopardize security. The Association will make every reasonable effort to accommodate test candidates who have disabilities, health conditions, or other needs as defined.
    a. Disabilities include those that limit one or more of life's major activities (e.g., walking, seeing, hearing, breathing, learning, reading, concentrating, or thinking) or a major bodily function such as neurological, endocrine, or digestive system.
        i. The candidate must submit a Request for Nonstandard Testing Arrangements as written verification of the disability or health condition, and this request must be signed by an approved professional service provider who has expertise in the area of the disability and who has evaluated the candidate and is familiar with the candidate's condition. The professional service provider must have no other relationship with the candidate, such as a family, direct supervision, or teacher-student connection. This written verification must include the following information:
            1. Formal medical or mental health diagnosis made or confirmed for conditions that are diagnosed as chronic
            2. Formal medical or mental health diagnosis made or confirmed for conditions that are diagnosed as temporary
            3. Date of onset
            4. Major Life Activities limited by the disabling condition
            5. Circumstances under which accommodations were previously granted and dates of these occurrences
            6. Requested accommodations in the testing situation
            7. If the accommodations requested were not provided before, the reason that the accommodations are being requested now
            8. If the disability is related to a learning disorder, the candidate must also submit written verification of the accommodations provided through student disability services at the educational institutions attended, if applicable. Candidates with

learning disorders must also provide a psychological, psychoeducational, or neuropsychological evaluation that diagnosed or confirmed the diagnosis of a learning disorder.

b. ASWB does not approve requests for test anxiety because the *Diagnostic and Statistical Manual of Mental Disorders, Text Revision*, does not list it as a diagnosis. To qualify for accommodations, the individual must have test anxiety that is related to an impairment that substantially limits one or more major life activities. Health conditions or other needs include those that do not qualify as a disability but limit the candidate's ability to take the exam under standard conditions. These include injury or temporary condition, pregnancy, and lactation.

c. Supporting documentation may be required for health conditions or other needs.

2. Through its test contractor, the Association will ensure that arrangements (such as extra time, special proctoring, separate rooms, audio recorded examinations, readers or writers, JAWS) will be provided at no cost to Member Boards or candidates.

3. The Association reserves the right to reject the administration of an examination in a manner that, in the sole opinion of the Association, would jeopardize the integrity, validity, and/or security of the examination or fundamentally alter the exam itself. In the event that an arrangement is deemed by the Association to be inappropriate or not reasonable because of security or validity issues and should the matter be contested by the candidate, the Association shall provide professional advice and legal consultation in support of the decision.

4. In consultation with the Member Board and the test contractor, other requests for arrangements that may arise under unique circumstances will be addressed on a case-by-case basis.

5. The test contractor permits only service animals into the Test Center. Service animals are trained for a particular task. Emotional support animals do not qualify as service animals.

Confirmed by the Executive Committee April 1995. Revised by the Board of Directors 1998, April 2001, November 2001, October 2004, April 2012, August 2012, January 2016, January 2017, January 2020, April 2021, April 2022, August 2026.

III.7. CANDIDATES WITH VISION IMPAIRMENTS

INTRODUCTION:

The Association is committed to ensuring that accommodations provided for candidates with vision impairments, including readers, give all eligible candidates access to its examination program, while ensuring the validity and security of the examinations.

POLICY:

1. Candidates with visual impairments may choose from among the following accommodations available for the social work licensure examination administration:
    a. Braille version of the examination
    b. Extra time, up to a total of eight hours (double the time allowed for the regular examination administration)
    c. A private room
    d. A qualified reader, audio recording, or currently approved and available technology provided by the Association or its testing contractor
    e. A flexible starting time for the examination, if necessary, to allow for a pre-examination meeting between the candidate and the reader
2. For candidates with vision impairments who choose readers, the following policies apply.
    a. Readers must have the following qualifications:
        i. Hold at least a high school diploma and be at least 18 years old
        ii. Be able to read aloud test materials accurately and intelligibly for up to eight hours
        iii. Have studied the written instructions that will be provided to readers ("ASWB Information for Readers and Signers") and familiarized themselves with the terminology in the sample test questions before reading for the examination
        iv. Be willing to join a telephone conference with the candidate before the scheduled examination
        v. A reader cannot have a personal relationship with the candidate. The reader cannot be a family member, friend, or work colleague. A reader cannot have a social work background due to conflict of interest.
    b. To ensure a good working relationship between the candidate and the reader, the Association shall adhere to the following procedures:
        i. Upon request from the candidate, a pre-examination telephone conference to allow for practice reading will be arranged.
        ii. Specific written instructions for readers, including instructions regarding appropriate interaction with candidates and how to read the examination, will be provided.
        iii. If after communication with the reader proposed by the Association or its testing contractor the candidate concludes that the reader will not be able to effectively communicate with him/her during the course of the examination, the candidate must

notify the testing contractor of the problems in order to reschedule his/her examination with another reader.

iv. A meeting will be held with the candidate, the reader, and Test Center personnel prior to the examination to clarify the procedures, including the time parameters of the test administration. The Test Center personnel will clarify that the candidate is permitted to ask the reader to write notes, especially if the candidate has no tools or equipment for taking notes or is unable to do so.

3. The following methods shall be used for monitoring and evaluating the experience:
   a. A proctor shall monitor activities during the examination administration.
   b. The reader shall have an opportunity to evaluate the reading experience.
   c. To ensure the security of the ASWB examination, the reader must agree to follow procedures for secure test administration approved by the Association.

Accepted by the Board of Directors 2000; confirmed April 2001; revised August 2011, August 2012, January 2016, January 2017, January 2020.

III.8. ENGLISH AS A SECOND LANGUAGE

INTRODUCTION:

The Association is committed to ensuring access to its examination program for all eligible candidates while ensuring the validity and security of the examinations. The Association will assist its Member Boards with making arrangements for candidates who use English as a second language.

POLICY:

1. Where Member Boards permit, the Association will make arrangements for candidates whose first language is not English. Such arrangements shall be granted solely at the discretion of Member Boards, in accordance with the laws and statutes of their individual jurisdictions.
2. Candidates must submit the appropriate request form for consideration. All arrangements require approval of the Association.
3. If permitted by the Member Board, such candidate may choose to use up to 2 dictionaries, 1 bilingual word-to-word dictionary and/or 1 standard English dictionary, and/or be granted up to 2 extra hours of time to complete the examination.
4. Test-takers approved for dictionary use as a nonstandard testing arrangement must provide their own print dictionary(ies). Translation dictionaries must be word-to-word and may not contain definitions. English language dictionaries are limited to common definitions in English; no social work or other related specialized profession dictionaries are allowed. All dictionaries will be inspected by Test Center staff before and after the examination. Test Center staff may disallow the use of a dictionary that does not conform to this policy. If notes are found in a dictionary during the check-in process, the test-taker will not be permitted to bring the item into the testing room. If notes are found in a dictionary during the check-out process, the test-taker's dictionary(ies) will be confiscated, and the candidate's score will be held and investigated.

Approved January 29, 1995; confirmed by the Executive Committee April 1995. Revised by the Board of Directors March 1996, September 1998, April 2001, October 2003, February 2006, November 2008, May 2011, August 2012, January 2016, January 2020, April 2022, August 2026.

III.9. STANDARDS AND CRITERIA FOR THE USE OF ASSISTIVE PERSONNEL IN ASWB EXAMINATIONS

INTRODUCTION:

ASWB is committed to ensuring access to its examination program for all eligible candidates. Under applicable laws, ASWB provides nonstandard testing arrangements that vary in scope depending on the substantiated disability and other relevant factors. At times, through its examination vendor, ASWB may arrange for the presence of assistive personnel within the Test Center and within the examination room.

POLICY:

1. Terms and roles of assistive personnel are defined below.
    a. Assistive personnel are divided into three categories:
        i. Registration Assistive Personnel
        ii. Content Assistive Personnel
        iii. Personal Care Attendants
    b. Registration Assistive Personnel and Content Assistive Personnel are individuals selected and employed by or under contract with the examination owner or the test administration vendor who have agreed to abide by the standards and criteria contained herein.
        i. Without limitation, such Registration Assistive Personnel and Content Assistive Personnel may include readers, scribes, proctors, sign language interpreters, and personnel needed to operate specific computers or devices necessary to the delivery and scoring of the examination as approved by the examination owner.
        ii. Registration Assistive Personnel and Content Assistive Personnel are limited to only those persons arranged for or approved by ASWB or its examination vendor.
    c. Personal Care Attendants are individuals selected and employed by the test-taker whose activities are limited to assisting with a test-taker's mobility into and out of the Test Center and providing other personal care unrelated to the delivery and content of the examination.
        i. Personal Care Attendants are not allowed access to the examination carrel or to the examination room, unless otherwise approved by ASWB as an arrangement.
2. Use of Registration Assistive Personnel related to access to and completion of the examination.
    a. Registration Assistive Personnel will be provided at the Test Center location when determined to be required under law and when duly requested and arranged in advance.
    b. Candidates will be allowed to engage with Registration Assistive Personnel in interactions that familiarize the candidate with the Test Center surroundings and examination administration, including:
        i. Upon check-in, including substantiation of identification of the candidate
        ii. Upon review of processes and procedures related to examination access, administration, and completion, obtaining the score report, and completing exit surveys

iii. Upon review of policies related to security, breaks, and allowed and disallowed materials within the Test Center

iv. Upon orientation to the location of exit doors and restrooms

v. Upon the candidate's asking other questions

c. Candidate interactions with Registration Assistive Personnel will be conducted in a manner that is not disruptive to the environment and others who are seeking access to and/or are taking their examinations.

d. Registration Assistive Personnel are authorized to provide only information that ensures that the candidate understands examination administration, inclusive of post-examination information and security concerns.

3. Use of Content Assistive Personnel related to the delivery of examination content and recording of responses.

a. Content Assistive Personnel will be provided at the Test Center location when determined to be required by law and when duly requested and arranged in advance.

b. Candidates will be allowed to engage with the Content Assistive Personnel for purposes related to the delivery of examination content and recording of responses. No additional interaction between the candidate and Content Assistive Personnel is permitted.

c. Content Assistive Personnel will provide a verbatim reading of the examination item/question and each potential answer and corresponding letter (for recording into the computer, as appropriate).

i. If requested by the candidate, items/questions and answer choices may be repeated.

ii. Items/questions may be flagged, returned to, and reread as necessary.

d. Content Assistive Personnel will not provide interpretive or editorial comments related to examination items/questions, content, definitions, or answer choices. The intent is to engage in a verbatim communication of what is contained on the examination form.

e. Content Assistive Personnel who provide examination content and response recording in the form of American Sign Language (ASL) will adhere to verbatim interpretation of examination items and responses. ASWB's test contractor partners with a third-party vendor who secures certified ASL interpreters for the ASWB examinations.

i. Terms of art or other social work-specific words that cannot be interpreted into ASL will be communicated to the candidate through finger spelling.

ii. Certified Deaf Interpreters (CDIs) can also be considered upon request with supporting documentation on a case-by-case basis. CDIs are not available in all locations.

f. The scope of the authority of Content Assistive Personnel is limited to a verbatim communication of examination content and recording of responses.

4. Confidentiality and nondisclosure statements.

a. All Registration Assistive Personnel and Content Assistive Personnel will be required to complete and agree to confidentiality and nondisclosure statements determined necessary by the examination owner and/or examination vendor.

b. These statements may address not only the protection of examination-related administration and content but also confidential information related to examination information protected by the vendor.

Approved by the Board of Directors August 5, 2017. Revised April 2022, August 2026.

III.10. CANCELLATIONS

INTRODUCTION:

Cancellation procedures are established in an effort to treat candidates for the examinations as fairly as possible while controlling administrative costs. These procedures are made public in the ASWB Examination Guidebook.

POLICY:

1. Examination fees are nonrefundable.
2. Candidates may cancel an examination reservation within time frames specified on the Association website and in materials provided to examination candidates and may make a new reservation without paying additional fees.
3. The Association office will consider extenuating circumstances for certain cancellations not made within specified timelines. These excused absences include illness or medical emergencies for the candidate or the candidate's immediate family member on the exam day, death in the family, disabling traffic accident, weather-related delays, court appearance or jury duty, or military duty. Candidates must follow submission and documentation guidelines on the Association website and in materials provided to examination candidates to request an excused absence. Candidates excused by the Association may be required to pay a reduced examination fee that is valid for registering for the exam up to one year after receiving approval of the excused absence. Candidates who do not register to take the exam within the approved time frames must pay the full exam fee.
4. Examination appointments canceled by the testing vendor or Test Center due to severe weather, disasters, technical problems, or other emergencies shall be rescheduled at no cost to the candidate.
5. Candidates shall not be reimbursed for any expenses incurred due to examination cancellation.

Reaffirmed April 12, 1991; revised February 15, 1992; confirmed by the Executive Committee April 1995. Revised by the Board of Directors September 1998, April 2001, August 2012, January 2016, April 2022.

III.11. EXAMINATION REVIEW

POLICY:

Because the integrity of the examination program is of the utmost importance, the Association does not permit review of the examination by any candidate. When compelled to provide such review through jurisdictional law, the Association shall allow review only under strict limitations that guard against risks to examination security.

Adopted 1992. Reaffirmed 1994; confirmed 1995; amended 1997; confirmed 2001; amended 2003. Amended August 2004, August 2008, January 2016, August 2026.

III.12. EXAMINATION SECURITY

INTRODUCTION:

The examinations developed and maintained by ASWB are the Association's most important products and are crucial tools in the protection of the public. Because the Association, Member Boards, and consumers depend on valid, reliable social work licensure examinations, the Association must make every effort to ensure that the security of its examinations is not compromised.

POLICY:

1. Association office staff shall maintain a single, comprehensive examination security manual, which shall include procedures, guidelines, and other information regarding examination security. The manual will be kept updated as needed by a staff member assigned that duty.
2. Information on examination security procedures shall be included on the Association website and in materials provided to examination candidates.
3. A Security Measures and Response Plan shall be incorporated within the Comprehensive Examination Security Manual and shall also be kept updated.
4. Trainings shall be conducted for all staff on security procedures and confidentiality, in accordance with the security plan as contained in the overall manual.
5. Candidates taking the examination must agree before an exam is administered not to copy, memorize, or in any way share test material recalled from the experience.
6. Candidates must also sign a statement agreeing that all exam questions are the property of the Association and that the questions cannot be copied and/or conveyed or shared verbally, online, in written form, or in any other manner to anyone.
7. Such prohibitions on sharing information about exam questions shall be made available through the Association website and in other examination information.
8. Examination candidates suspected while at the Test Center of having violated test security policies and procedures set in place by the Association will have a hold placed on their examination scores, and the incident will be investigated by Association examination services management staff.
    a. If the investigation determines that the alleged conduct does not constitute misconduct, the score hold will be removed and the examination scores will be released.
    b. If the investigation determines that the alleged conduct does constitute misconduct, the candidate will be notified by email. The candidate shall have 30 days to provide a response and may be required to complete a signed notarized affidavit to provide more detailed information or answer additional questions about the alleged conduct. The jurisdictional board may also be notified via email that the candidate's score is on hold pending investigation of an irregularity report. The Association Board of Directors in consultation with legal counsel will review the materials from the investigation and decide the outcome. The candidate and jurisdictional board will be notified by email of the Board of Directors' decision. There is no appeal to the decision of the Board of Directors. All those responsible for the misconduct may be referred for prosecution and/or civil action by the Association and its testing vendor.
9. Examination candidates and/or licensees suspected of violating the signed candidate agreement after exam administration shall be subject to investigation by the Association. The candidate/

licensee will be notified of the investigation by email. The candidate/licensee shall have 30 days to reply and may be required to complete a signed, notarized affidavit to provide more detailed information or answer additional questions about the suspected violation. The jurisdictional board may be notified via email of the investigation. The investigation materials will be presented to the Association Board of Directors for review. The Board of Directors in consultation with legal counsel will determine the outcome. The candidate/licensee and jurisdictional board will be notified by email. There will be no appeal to the decision of the Board of Directors. Those responsible for the violation may also be referred for prosecution and/or civil action by the Association.

10. Any individual or entity suspected of exposing examination items via the internet or any other method shall be investigated. The course of action will be determined by the Association Board of Directors in consultation with legal counsel. Those responsible could face a range of administrative, civil, and criminal charges if the Board of Directors determines that exposure of items occurred.
11. The Association will work with its Member Boards to develop licensure candidate application procedures that allow for initial screening of candidates before they register for the examinations. The Association may do this by offering candidate preapproval services to its Member Boards or through other forms of assistance.
12. To ensure the confidentiality of proprietary information, all supplier contracts shall include language that gives ASWB the right to request and/or conduct an independent security audit of the supplier if deemed necessary.
13. Employees of the test contractor and Test Centers that administer ASWB examinations shall not take an ASWB examination for a year after they have concluded their employment with the center.
14. If a member of the immediate family of an employee of a Test Center that administers the ASWB examinations is going to take the ASWB examination, alternate testing arrangements must be made to avoid any potential conflict of interest.
15. The exam administration department maintains an internal security audit process focused on examination administration practices, adherence to established security protocols, and the proactive identification of operational gaps that could impact exam integrity.
    a. This process includes routine and targeted reviews of candidate workflows, identity verification procedures, test delivery environments, system access controls, and incident handling to ensure consistent application of security standards across all delivery methods. Audits emphasize evaluating whether staff actions, administrative processes, and system safeguards align with documented protocols, while also identifying breakdowns, inconsistencies, or emerging risks.
    b. Audit findings are documented and shared directly with the testing vendor to support alignment, transparency, and coordinated resolution of any identified issues across testing environments. Findings are used to pinpoint gaps in execution, reinforce protocol compliance, and drive corrective actions, process refinements, and staff training, ensuring continuous improvement in both security measures and the overall administration of ASWB examinations.

Approved by the Board of Directors April 1999. Revised April 2001, February 2003, October 2004, August 2009, August 2012, November 2012, May 2014, August 2014, January 2016, April 2016, January 2019, April 2022.

III.13. SCORE TRANSFER

INTRODUCTION:

ASWB provides a uniform, standardized examination program to its Member Boards. This program is legally defensible based on the examination development process, which includes a practice analysis that at a minimum examines social work in all member jurisdictions, item development, pretesting, and ongoing psychometric analyses. The nature of the ASWB practice analysis and examination program reflects social work practice in the United States and Canada, based on accepted sampling standards.

Jurisdictions that use a jurisdiction-specific minimum competency examination as part of the criteria for determining licensure eligibility have concluded by direct implication that the ASWB practice analysis does not reflect social work practice in that jurisdiction.

POLICY:

1. The validity of the ASWB examination program and its legal defensibility are sustainable in all jurisdictions included in the most recent practice analysis.
2. The Association supports the score transfer of ASWB examination results to Member Boards. Member Boards shall rely only on the Official Score Transfer provided directly from ASWB for this purpose. Score reports submitted directly by candidates are not official and are not acceptable for licensure purposes.
3. Examination scores from jurisdictions using jurisdiction-specific examinations for the purposes of determining licensure eligibility shall not be recognized by the Association as a competency assessment mechanism equivalent to any of the ASWB examinations.
4. The Association cannot legally support the defensibility of examinations other than those administered by ASWB.

Adopted by the Board of Directors October 1999. Revised April 2001, October 2004, August 2009, August 2012, January 2016, April 2021.

III.14. SHARING OF EXAMINATION DATA

INTRODUCTION:

Through its examination program, the Association collects information from exam candidates and compiles certain aggregate exam performance data related to a number of variables. Some information supplied by exam candidates is either optional or not verified for accuracy by ASWB due to accessibility constraints, privacy laws, and the inability to satisfactorily or reasonably provide substantiation. Based on these variables and the potential for misuse and misinterpretation of these exam performance data, ASWB reserves the right to disseminate aggregate exam performance data only under circumstances that provide the Association with a reasonable assurance that such data are statistically significant and are accurate. As a basis for or against disclosure, ASWB will consider factors including, but not limited to, first-time test-takers and numeric volumes that support statistical standards.

POLICY:

1. ASWB may make available an annual compilation or aggregate pass–fail statistics report related to test-takers of each jurisdiction based on an annual calculation, subject to candidate volume restrictions that are statistically supported. These reports shall be developed based on reports supplied by the exam vendor. Such aggregate exam performance data reports shall be accompanied by the appropriate disclaimers regarding statistically significant numbers and limitations on use.
2. ASWB may make available an annual compilation or aggregate pass–fail statistics report related to educational programs within jurisdictions for test-takers based on an annual calculation, subject to candidate volume restrictions that are statistically supported. Education reports shall be developed based on reports supplied by the exam vendor. Such reports shall be accompanied by the appropriate disclaimers regarding statistically significant numbers and limitations on use.
3. ASWB may make available an annual compilation or aggregate pass–fail statistics report related to each education program for test-takers based on an annual calculation, subject to candidate volume restrictions that are statistically supported. Such education program reports shall be developed based on reports supplied by the exam vendor. Such reports shall be accompanied by the appropriate disclaimers regarding statistically significant numbers and limitations on use.
4. Under any circumstances above, ASWB reserves the right to limit the dissemination of aggregate exam data based on factors related to legal issues, confidentiality, statistically insignificant data, or other reasons necessary to protect the integrity of the examination program or ASWB.

Approved by the Board of Directors June 8, 2006. Revised August 2011, August 2012, August 2017.

III.15. EXAMINATION PROGRAM MONITORING

INTRODUCTION:

To serve its membership and to fulfill its legal obligation and public protection mission, the Association must ensure that its examination program maintains high standards of validity and reliability. The Association continuously monitors the program and shall, from time to time, obtain program evaluations from sources not affiliated with the Association or its testing vendor.

POLICY:

1. To assess the examination experience, a survey shall be administered to all candidates at the end of the examination.
2. Responses to the survey shall be compiled and examined to identify any part of the test administration that candidates have indicated does not meet their needs and expectations.
3. The Association shall maintain close communication with Member Boards and Member Board staff to determine any concerns with Test Centers or administration procedures.
4. The exam contractor must provide quarterly reports on candidate performance.
5. The exam contractor must supply an annual technical report.
6. The exam contractor must provide item bank reports before every meeting of the ASWB Examination Committee.
7. The Association exam program will be continually evaluated by a third-party psychometric vendor and against testing industry standards.
8. A psychometrician shall be present at every ASWB Annual Meeting of the Delegate Assembly to report on the examinations and to respond to questions or concerns from Member Boards.
9. Every six to eight years, an independent security audit of the exam program shall be conducted.
10. Staff and leadership shall attend professional meetings on testing as required to keep in-house knowledge up to date.
11. The effectiveness of the item development program, including item writer training, item editing, item development consulting, and organization of the ASWB Examination Committee meetings, shall be monitored regularly by staff and reported to the Board of Directors.

Approved by the Board of Directors November 10, 2006. Revised August 2009, August 2012, January 2016, January 2019, April 2021.

IV. METHODS OF OPERATION

IV.1 ASSOCIATION OPERATIONS 61

IV.2 LEADERSHIP COVERAGE AND EMERGENCY COMMUNICATIONS PLAN IN THE ABSENCE OF THE CHIEF EXECUTIVE OFFICER 62

IV.3 CEO SUCCESSION PLAN 65

IV.4 LEGAL SERVICES 68

IV.5 FISCAL PROCEDURES 69

IV.6 INVESTMENTS 70

IV.7 RESERVE FUNDING 73

IV.8 FEES AND DUES 74

IV.9 RISK MANAGEMENT 75

IV.10 RESEARCH SUPPORT 76

IV.1 ASSOCIATION OPERATIONS

INTRODUCTION:

The Chief Executive Officer and ASWB staff shall carry out the day-to-day operations of the Association, 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. The Board will be informed of personnel policies when significant changes are made.
2. ASWB staff shall carry out operations in support of ASWB's mission, policies, bylaws, and strategic objectives. Representative tasks include:
    a. Providing support for all activities of the Association, including 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. Providing information to members as needed and requested, with emphasis on data valuable in regulatory activities
    c. Serving as media point of contact for the Association and responding to media inquiries
    d. Overseeing psychometric reviews as needed, providing any needed measurement information in relation to the examination
    e. Providing regular reports to the Board of Directors regarding all programs and services offered by the Association through its departments

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, January 2019, January 2020, April 2022.

IV.2 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 due to unexpected illness, accident, or other unforeseen event that prohibits the CEO from fulfilling employment duties and provides a plan for communicating with stakeholders during this absence. It does not replace the ASWB Personnel Policies regarding leaves of absence but rather provides further clarification for this key role.

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. If that individual is not available, the next person to be contacted is the Senior Director of Member Engagement and Regulatory Services.
    b. The Chief Operating Officer or the Senior Director of Member Engagement and Regulatory Services will notify the CEO's personal emergency contacts.
    c. The Chief Operating Officer will implement the appropriate Leadership Coverage and Emergency Communications 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 Chief Operating Officer, who will put into effect the Leadership Coverage and Emergency Communications Plan appropriate to the anticipated length of absence.
3. Definitions
    a. A temporary or unplanned leave of absence is designated as less than four weeks.
    b. A short-term leave of absence is designated as one to three months.
    c. A long-term leave of absence is designated as more than three months.
    d. "Acting CEO" is defined as the staff member appointed by the Board of Directors to carry out the CEO duties and responsibilities temporarily until the return of the CEO.

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

4. The Chief Operating Officer, in consultation with ASWB's Board President and the Director of Public Relations and Communications Strategy, 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. A meeting of the Executive Leadership Team will be convened by the Chief Operating Officer within 48 hours of notification to discuss leadership coverage for the CEO's duties.
    b. The Chief Operating Officer will manage assignments and have the authority of the CEO during this time.
    c. The Chief Operating Officer will keep the Board President informed on a regular basis, at a minimum once per week.

d. The Chief Operating Officer will consult with the Executive Leadership Team to review all account signature cards and establish a temporary signatory during the CEO's absence.

e. The Executive Leadership Team will report to the Chief Operating Officer. Staff members will continue to report to their assigned directors or supervisors.

f. The Chief Operating Officer will review the CEO's calendar commitments and delegate as appropriate.

g. Near the end of four weeks, the Board of Directors, in consultation with the Chief Operating Officer, will discuss the CEO's prognosis and/or capability of returning to work, based on medical authorization, if applicable.

h. The Board of Directors, in consultation with the Chief Operating Officer, may consider designating a member of the Executive Leadership Team to the position of Acting CEO. The position description of Acting CEO will specify that a member of the Executive Leadership Team may serve as Acting CEO in the absence of the CEO, unless otherwise decided by the Board of Directors.

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

5. When notified that the absence of the CEO will extend beyond four weeks, the Acting CEO will implement the following plan:

   a. The Acting CEO will notify the Board President and the Executive Leadership Team that the extended plan is being implemented.

   b. The Board President will notify the Board of Directors that the extended plan is being implemented.

   c. The Board President, in consultation with the Board, will consider a salary adjustment for the Acting CEO.

   d. The person appointed as Acting CEO will have the authority outlined in the CEO job description and other applicable policies as required by the Board.

   e. The Board President and Board of Directors will have the responsibility for monitoring the work of the Acting CEO. The Acting CEO will provide regular updates and will meet the Board President as both determine is necessary but no less than every other week. The Board President will also be mindful of the special support needs of the Acting CEO serving in this temporary leadership role and will act to address them.

   f. In the event of a long-term temporary absence of the CEO, the Acting CEO will consider assigning another staff person temporarily to fill the position vacated when the role of Acting CEO was assumed. This is in recognition that it may not be reasonable to expect the Acting CEO to carry out the duties of both positions during a long-term absence of the CEO. The position of a temporary appointment would focus on covering the priority areas in which the Acting CEO needs assistance.

   g. If it is determined by the Board that the CEO will not be able to return to the position, the Board President will appoint a Transition Task Force and a Search Committee in accordance with Policy IV.3, CEO Succession Plan.

h. The following communications activities shall take place as soon as either the Short-Term Leadership Coverage and Emergency Communications Plan or the Extended Leadership Coverage and Emergency Communications Plan is implemented:

   i. The Acting CEO, in consultation with the Director of Public Relations and Communications Strategy, 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.

   ii. The Acting CEO will convene an all-staff meeting to convey the statement. Staff will be informed of any change in leadership and will be reassured that ASWB will continue operating as usual.

   iii. The Board President will inform the Member Boards and other appropriate stakeholders about the CEO's absence, outlining how ASWB will continue to operate as usual.

   iv. An out-of-office message will be placed on the CEO's email and voicemail with information about how to redirect communication to appropriate staff.

   v. The Acting CEO will provide updates to the Board President on a regular basis, at least once per week.

   vi. All external inquiries will be referred to the Chief Operating Officer or the Acting CEO.

   vii. The Board President will provide updates to the Board of Directors on a regular basis.

Adopted by the Board of Directors August 6, 2016. Revised January 2018, January 2019, April 2022.

IV.3 CEO SUCCESSION PLAN

INTRODUCTION:

A succession plan for the CEO position ensures sustainability for the Association by providing a proactive and orderly plan for executive leadership transition. A succession plan for the CEO position is more than a routine risk management and sustainability planning tool; it is also a disciplined, strategic process.

The optimal period for the CEO to announce a departure from that role or proposed commencement of a new role in the Association is at least 6 to 12 months before the date of departure. The typical amount of time required for successfully completing a planned leadership transition is approximately 8 to 12 months.

Guiding principles

- The goal of the CEO succession plan is to maintain continuity of the Association's mission-related work. The succession plan also presents an opportunity for the Association to continue to grow and develop.
- One of the most important responsibilities of the ASWB Board of Directors is to select the CEO. The Board should ensure that the entire selection process is transparent, fair, and professionally managed.
- The Board shall work proactively to develop a diverse finalist pool that is reflective of ASWB and its membership.
- At any time, there can be only one CEO for the Association.

POLICY:

1. The appointment of the CEO is the responsibility of the Board, and the Board President oversees the CEO succession planning and implementation process.
2. To ensure that the best possible individual is hired, the Association may consider both internal and external candidates when filling the CEO position. A search firm may be hired to assist with the search process, including seeking potential candidates through a search conducted in the United States and Canada.
3. Currently sitting ASWB Board members are not eligible to apply for the CEO position, and they cannot resign their position on the ASWB Board to apply for the position.
4. After input and approval from the President-Elect/Past President, the Board President shall appoint both a Transition Task Force and a Search Committee and designate a chair for each.
    a. The Transition Task Force is a crucial component for the ongoing stability of ASWB during the implementation of the succession plan. The Transition Task Force designs and implements an effective orientation and launch for the incoming CEO to ensure that the Board and the incoming CEO forge a successful partnership by clarifying priorities, respective roles and responsibilities, and expectations and plans for monitoring and evaluating performance.
    b. The Search Committee is a crucial component to help ensure the selection of a qualified and capable leader who fits well with the Association's mission, vision, values, culture, goals, and objectives and who has the necessary skills to lead the Association. The Search Committee, in coordination with the search, firm shall interview qualified candidates and present finalist(s) to the ASWB Board for selection of the successful candidate to serve as incoming CEO.

5. If the current CEO exits the Association prior to the appointment of the new CEO, the Board may appoint an interim CEO to carry out the CEO duties temporarily until the new CEO is identified and hired.
6. The Board President, with Board approval, makes the job offer to the selected candidate.
7. Upon acceptance, the Board President and ASWB legal counsel may enter into contract negotiations with the selected candidate within two weeks, not to exceed two months.
8. The exiting/interim CEO's role during the transition and after the new CEO starts shall be developed in consultation with the Board President and/or Transition Task Force. The role shall be communicated to the ASWB Board. The exiting/interim CEO may be involved in some transition activities, including serving on the Transition Task Force.

The roles of the Transition Task Force and Search Committee are outlined in more detail below.

Transition Task Force

1. The members are:
    a. President-Elect/Past President
    b. Secretary
    c. CEO or Interim CEO
    d. Director of Communications, and
    e. A Board member chosen by the Board President.
2. The Transition Task Force may facilitate a meeting with the full Board to review the Association's strategic plan, discuss opportunities and challenges facing the Association, and identify leadership characteristics and critical competencies needed in the new CEO.
3. The Transition Task Force shall design the Request for Proposals to hire the search firm, specifying expectations of process, communication, time frames, decision-making, and fees. The Transition Task Force shall recommend search firm(s) to the Board of Directors for approval.
4. The Transition Task Force will develop and execute a transition communications plan to inform staff members and stakeholders about the selection process.
5. The Transition Task Force will plan a recognition and closure process for the outgoing CEO.
6. The Transition Task Force, in consultation with the incoming CEO and outgoing CEO, will work to create a smooth transition, including introductions to staff and key stakeholders.

Search Committee

1. The Search Committee consists of:
    a. Board President
    b. Board Treasurer
    c. A Board member chosen by the Board President with the approval of the Board
    d. Two senior management staff members chosen by the Executive Leadership Team

e. 2 Member Board representatives chosen by the Board President with the approval of the Board.

f. A Human Resources staff member selected by the Executive Leadership Team will participate in a consultant capacity and will have no voting rights.

2. The Search Committee will collaborate with the Board-approved search firm to:

   a. Perform a compensation package study

   b. Develop protocols, interview questions, selection criteria, and interview processes

   c. Conduct interviews as directed by the search firm

   3. The Search Committee will recommend final candidate(s) to the Board of Directors for final selection.

Adopted by the Board of Directors January 28, 2018. Revised January 2020, April 2022.

IV.4 LEGAL SERVICES

INTRODUCTION:

Legal counsel is available for Association operations 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, January 2020.

IV.5 FISCAL PROCEDURES

INTRODUCTION:

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

POLICY:

1. The Association shall report the financial results of operations according to the schedule established by the Finance Committee and at least quarterly to the Board of Directors at their regularly scheduled meetings.
2. A fiscal year budget shall be submitted to the Finance Committee in time for reasonable approval by the Board of Directors prior to each fiscal year and shall use reasonable assumptions and projections as background. Financial reports shall be made to the Delegate Assembly and shall identify unfavorable variances greater than $10,000 and 10 percent.
3. 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 and financial status of the Association shall be rendered by the Treasurer or President or their designee.

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, January 2019, January 2020, August 2022, August 2026.

IV.6 INVESTMENTS

INTRODUCTION:

This Investments 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. The Association's investments shall be made in socially responsible instruments whose criteria meet with the approval of the Board of Directors in accordance with investment policy parameters.
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

8. 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.
    a. Investment Objectives
        i. Reserve funds will be separated into two accounts: one for potential short-term needs and one for long term needs.
        ii. The objective of the Short-Term Fund (60 percent) is preservation of capital and liquidity. Its risk tolerance shall be considered "Conservative."
        iii. The objective of the Long-Term Fund (40 percent) is capital appreciation, with a time horizon of 7 to 10 years. Its risk tolerance shall be considered "Moderate."
        iv. Allowable investments for each fund are shown under Policy IV.6.9, below.
    b. Roles and Responsibilities
        i. **ASWB Board of Directors**: The Board of Directors of the Association shall have final approval of any changes to this Investments Policy, based on recommendations from the Finance Committee.

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

iii. **ASWB Chief Executive Officer**: The authority of investment discretion and decisions lies with the Association's Chief Executive Officer or designated Executive Leadership staff, based on recommendations from the Investments Advisor, in accordance with the constraints of this policy. Staff shall provide information about the investment performance and any recommendations made by the Investments 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 Investments Advisor will be brought to the Finance Committee immediately.

9. Allowable Investments
    a. Money Market Funds
    b. CDs insured by the FDIC
    c. Treasury Bills
    d. U.S. Government and agency securities
    e. Corporate notes and bonds
    f. All types of mutual funds, including REITS and alternative investments with daily liquidity
    g. Exchange Traded Funds, except those using leverage
    h. Short-duration bond funds
10. Prohibited Investments and Transactions
    a. Individual stocks
    b. Commodities and futures contracts
    c. Private placements
    d. Individual options
    e. Short selling (except within mutual and bond funds)
    f. Margin transactions
11. Benchmarks and Target Rates of Return
    a. 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.
        i. Asset Allocation Guidelines Short-Term Fund

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

ii. Long-Term Fund

Asset Class	Minimum, %	Maximum, %	Target, %
Cash and Equivalents	0	10	5
Fixed Income	15	45	30
Equities	30	60	45
Alternative Investments	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, January 2019, August 2026.

IV.7 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. The Association shall continue to build its reserve funds 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 $10 million at minimum.
2. Funds in the Operating Business Expenses Fund shall be accessible by the Association only after approval of the Board of Directors.
3. 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.
4. Staff shall report to the Finance Committee and Board of Directors on a regular basis concerning the status of all reserve funds.
5. 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, January 2019, April 2022, August 2026.

IV.8 FEES AND DUES

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. 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 of Directors.
3. Member Board dues charged by the Association shall be reviewed by the ASWB Finance Committee at least every 7 years or more frequently as determined by the Board of Directors.
4. In setting and reviewing fees, the Association shall consider the use of international currencies, as appropriate, to accommodate participating jurisdictions outside of the United States.

Adopted May 1, 2003. Revised October 2004, August 2012, January 2016, April 2022, August 2026.

IV.9 RISK MANAGEMENT

INTRODUCTION:

As part of their 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. Internal departments shall conduct ongoing risk assessments as appropriate and inform the Board of Directors of any pertinent risk in a timely manner.
2. The Board of Directors may assign additional risk assessments to ASWB committees, task forces, staff, consultants, or subcommittees of the Board, as appropriate. 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. Revised August 2026.

IV.10 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. To fulfill this purpose, the ASWB Board of Directors may consider providing support to individual research projects that are related to the Association's mission and goals and that follow Association policy.

1. ASWB promotes and engages in research, consumer education, and public service to enhance social work regulation.
2. ASWB seeks research related to occupational and professional regulation, with an emphasis on social work regulatory best practices. The research will promote best practices and informed decision-making on behalf of social work regulators in the United States and Canada. Original qualitative, quantitative, or mixed-method research will be evaluation on scientific merit.
3. ASWB seeks research to support the Association and the entire social work profession in gaining a deeper understanding of the causes and impacts of various forces on racial disparities and other disparities present within the licensing exam pass rate data. The research will provide additional context and knowledge to discussions currently taking place about building and maintaining a more diverse and inclusive profession.

POLICY:

1. All requests for research support, data access, or other assistance must be made in writing and submitted to the ASWB Board of Directors for its review and approval.
2. The Regulatory Research Committee reports to the Board of Directors. The committee shall be composed of individuals representing a diverse range of regulatory and academic perspectives. The committee shall undertake the following tasks:
    a. Conduct an annual assessment of the regulatory research needs of ASWB membership, to include prioritizing the types of research needed and making the list available to interested researchers.
    b. Review published research about occupational licensing, with particular focus on the social work profession, and make relevant research and/or a synopsis of the research available to ASWB members.
    c. Establish policies for commissioning research and reviewing commissioned research proposals. Develop policies for awarding grants to researchers.
    d. Determine the next award cycle and recommend to the Board of Directors.
    e. Review progress on funded projects.
3. The ASWB Board of Directors reserves the right to deny access to any proprietary or confidential data.
4. 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.
5. The Association reserves the right to require review and approval of any research product developed under this policy prior to the product's dissemination.

6. The Association must receive complimentary copies of the research product prior to dissemination.
7. The researcher must be willing to present the research product at an Association meeting.
8. 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.
9. The ASWB Board of Directors may designate funds for research support in annual Association budgets.
10. Funding for research may be provided through an RFP process.
    a. A detailed project budget, including tasks, a timeline, and a schedule for deliverables, must be included with the proposal. A specific budget cap will be set by the Board of Directors.
    b. Proposals and projected expenses will be considered and evaluated based on the overall strength of the proposal, including intellectual merit and project design.
    c. Proposals must include a detailed budget that stipulates how funds will be spent, including direct costs, salaries, wages and benefits, administration and overhead (if applicable), contractor costs, materials and supplies, and travel (if applicable).
    d. A diverse and impartial committee will review all proposals submitted on time to determine whether bidders meet all the requirements prescribed in the RFP. The evaluators may contact any individual or entity, whether offered as a reference or not, to obtain information that will assist in evaluating the bidder. The evaluators retain the right to use such information to make selection decisions. Submittal of a proposal constitutes agreement that the evaluators may obtain and utilize such information.
11. 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, January 2019, April 2019, April 2022, August 2026.