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# SECTION & BRANCH OPERATIONS HANDBOOK

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## 1.0 PURPOSE

This Handbook has been developed as a supplement to the American Society of Civil Engineers' *Official Register*. It contains information, suggestions and guidance for ASCE Sections and Branches, their officers and members. This Handbook provides useful ideas to improve the service of the Sections and Branches to their membership and provides answers to many questions and problems that arise in Section and Branch operations. In addition, ASCE Society Officers, the Leader Training Committee, the Society's Executive Director and Geographic Services staff are available to assist in matters concerning the operations of Sections and Branches.

## 2.0 FOREWORD

To meet the professional and technical needs of members at the local level and to assist them in accomplishing the purposes of the Society, the Board of Direction authorized the formation of Sections.

Branches or other subsidiary organizations may be organized within Sections upon the petition of members of the Society residing in a given area. Petitions must be endorsed by the respective Section and approved by the Region's Board of Governors. Requirements for the formation and operation of Sections and Branches and other subsidiary organizations have been adopted and set forth in the Society's Bylaws and Rules of Policy and Procedure.

**As provided in the Constitution of the Society and in practice, the functions of Sections are intended:**

- < to achieve closer personal acquaintance and a spirit of cooperation among engineers
- < to confer and to make suggestions with respect to matters of policy both at the local level and upwards through the Regions and the Society
- < to provide educational activities both of a professional and/or a technical nature
- < to study local engineering problems
- < to encourage members of the Society to prepare or discuss papers involving technical and/or policy areas
- < to cooperate with other Sections and other local engineering societies in matters of common interest
- < to appoint committees to carry out the work of the Society
- < to foster Student activities and cooperate with Student Chapters in the Section's areas
- < and otherwise to assist in attaining the objectives of the Society and in providing service to the members.

Sections and Branches have been formed from time to time and recognized by the Board of Direction, beginning with the San Francisco Section (first an "Association") in 1905. A comprehensive list of Sections and Branches giving the names of current officers and areas allocated to the Sections can be found in the *Official Register* and on the ASCE website, [www.asce.org](http://www.asce.org).

Establishment of Sections is regulated by the Constitution and Bylaws of ASCE. The functions of the Sections are regulated by Rules of Policy and Procedure, established by the Board of Direction.

### 3.0 AUTHORITY AND RESPONSIBILITY

Authority must accompany responsibility for an organization to be successful. While Sections/Branches have the authority to utilize a member's personal activity in ASCE, they also have the responsibility to develop and direct that energy and enthusiasm.

For example, it is the responsibility of a Section/Branch to hold meetings of its assigned members and it has authority to set up any program of meetings deemed to be in the interest of its members. The Section is responsible for promoting the general welfare of its members and, therefore, has the authority to take such actions that will aid in attaining this objective.

There are limitations on both the authority and responsibility of a Section/Branch. Sections/Branches are encouraged to actively participate in public affairs impacting the civil engineering community. It is important, however, to limit such activities to the geographical area of the Section/Branch unless there is a cooperative effort on the part of two or more Sections/Branches, and that such activities are within the scope of the objectives of the Society.

Public affairs from the municipal to the state level will generally be left to the Section or Sections interested. A Region or Council of Sections may function in state or interstate problems within its area of jurisdiction.

All national affairs in the range of Society interest, including legislation, will be considered at the Society level by the Board of Direction. Sections/Branches or Regions may propose action for consideration by the Board, and submit it through appropriate channels within the Society. Note that Article 9, Section 9.1 of the Bylaws provides that "No organizational entity shall speak for the Society as a whole unless so authorized by the Board of Direction."

The staff of the Society's Headquarters office is available for consultation and guidance when there is doubt regarding the proper handling of a specific situation. Obtain advice and clearance from Headquarters whenever making reference to Society policy to any public agency.

Sections are urged not to act upon registration, legislation or other controversial professional matters without prior consultation with the Sections of other interested professional organizations.

Since the Society is an international organization, its Sections may not affiliate with other organizations or movements of national or international scope without prior approval of the ASCE Board of Direction. Contact the ASCE Executive Director for procedures.

### 4.0 ORGANIZATION OF SECTIONS/BRANCHES

Successful operation of a Section/Branch depends upon the efficient utilization of member talent and effort.

#### 4.1 Areas of Sections

The concept of Section "areas" was established in 1938, when the whole of the United States was divided into areas under the jurisdiction of the respective Sections. These areas are defined in the yearly *Official Register*. The boundaries of any Section shall lie entirely within the boundaries of a single Region. Boundaries of Section areas may be changed at any time by the Board of Governors of their Region. Any proposed changes to Sections that impact other

Regions shall be referred to the Governing Documents Committee for recommendation to the Board of Direction. As ASCE expands its membership outside the United States, new Sections may be created after operating as an International Group for at least one year.

Sections should strive for (1) ease of communication, (2) sufficiently large membership, (3) an operative area of similar interests and (4) defined geographical boundaries for leverage in political and legislative items of interest to the profession and the public. If feasible, a Section organization should be based on state boundaries. Fragmentation should be avoided. It is more desirable for ease of communications to have as few Sections as possible.

## **4.2 Branches**

With the expanding membership of ASCE, some geographically large Sections have found it impossible to adequately serve the needs of their widespread membership. In an effort to take the Section to its members, the custom of holding meetings at various population centers evolved. As the organization in each of these centers strengthened, the natural outgrowth was a permanent Branch as a subsidiary organization of the Section with a continuing program of professional activities. The Board of Direction encourages the formation and operation of Branches. To establish a new Branch, a petition supported by the Section must be submitted to their Region's Board of Governors for review and approval.

The operation of a Branch is similar to that of a Section. However, the responsibility for the Branch always lies with the Section and the relationship between the two must be one of mutual understanding regarding this responsibility. Branch officers are often members of the Section Board of Directors.

## **4.3 Constitution and Bylaws**

A Section's constitution and bylaws should be designed to meet the needs of the particular group and areas involved. Branches do not have their own constitutions; as a subsidiary structure, they are governed by the Section Constitution. Branches do have their own bylaws. For guidance in preparing new governing documents or revising existing ones, Appendix 2 provides governing document templates.

Following the establishment of a Section and before becoming effective, the Society's Executive Committee must approve any new constitution and bylaws, upon review by the Society's Governing Documents Committee. The approval of amendments to Section constitutions and bylaws is delegated to the Society's Governing Documents Committee. For guidance regarding the correct procedure, contact Tara Hoke, [thoke@sasce.org](mailto:thoke@sasce.org) ASCE's Assistant Legal Counsel at ASCE Headquarters.

Submit any amendments to constitutions and bylaws in a format that clearly delineates the changes.

For guidance in forming new Sections and Branches, see Appendix 1. Appendix 2 provides a sample set of bylaws for Branches.

## **4.4 Officers and Directors**

Elected officers and directors of the Section/Branch establish operating policy and

goals for the management of the Section. Officers typically consist of a president, president-elect, vice-president, secretary and treasurer. In some Sections, depending on size, the last two posts may be combined. Depending upon size and organizational involvement, many Sections include other officers such as additional vice-presidents and/or directors. These officers and directors comprise the Board of Directors of the Section/Branch.

#### **4.4.1 Election of Section/Branch Officers**

Procedures for electing Section/Branch officers are outlined in the Section/Branch's governing documents. Regardless of the procedure prescribed, interpretation should encourage election of officers who represent the diverse interests of the members in order to maintain the active interest of all members. Nothing destroys member participation faster than the circulation of the idea, warranted or perceived, that officers rotate within a closed elite group.

A simple safeguard of the elective process is a provision in the bylaws for appointment of a nominating committee. This committee meets in advance of the Section/Branch meeting for election. The nominating committee's main purpose is to put forth a slate of qualified candidates for the vacant positions. Another option which can be included is the opportunity for "nomination by petition." Additionally, the use of a secret ballot, no matter the size of the Section, is good practice.

Prime qualifications for officers and directors are (1) interest in the objectives of the Society and the Section/Branch, (2) the ability to work well with a group and, (3) most importantly, the time to spend on affairs of the Section/Branch while in office. Remember, the welfare of the Section/Branch depends upon selecting a qualified engaged individual.

#### **4.4.2 Officers' Functions**

The spark plug of the Section/Branch is the president, but he or she should not be expected to be the whole engine. Specific duties dealing with routine operation should be delegated to other elected officers and directors. The abilities of vice-presidents, president-elects, or directors, should be used to good advantage by placing them in charge of important Section activities.

The secretary performs many of the essential administrative functions of the Section/Branch. The secretary normally maintains a file of the Section/Branch's membership, all records and correspondence, prepares and submits reports of Section activities, and notifies members of meetings. Additionally, the secretary records and prepares minutes of official Section/Branch meetings.

The treasurer receives funds due to the Section/Branch, pays bills, maintains suitable repository for Section/Branch funds, and prepares regular financial reports.

Refer to Appendix 10 for additional information on roles of officers.

### **4.5 Organizational Structure**

Officers working alone cannot devote the time or the effort necessary to the operation of an active Section or Branch. Section/Branch officers should have the active support of an appropriate number of committees each with a special function. Such committees are divided into groups: standing committees, with a continuing function; and task committees, given a single assignment and discharged when their goals are complete. Appendix 6 provides a guide for forming committees.



Standing committees most commonly appointed are: nominations, program, membership, hospitality, public information, publications or newsletter, technical activities and professional practice. Committees on awards and prizes, career guidance, legislative affairs, younger member forum, student affairs, community involvement, and diversity programs are also routinely added.

Task committees undertake discrete projects outside the scope of standing committees or to study matters requiring more specific and detailed attention. For example, a Constitution and Bylaws Committee might be formed for revising these documents.

Refer to Appendix 10 for additional information on committee function, composition and duties.

## 5.0 MEMBERSHIP IN A SECTION/BRANCH

The status of membership in a Section/Branch is determined by each Section's constitution. However, such membership must be open to all ASCE members who reside or work in the assigned area of the Section. Most Sections determine active membership by the provision: "subscribing to the Section constitution and paying dues." Similarly, most Sections make provisions for non-resident members when an assignment may have taken the member out of the area. In September 2004, ASCE instituted a new member service of tracking and billing members who wish to pay dues to a **second** Section and Branch. If your current Section or one of your Branches bills members that are not assigned to your Section's geographic boundaries, ASCE Headquarters will do it for you. Please submit a list of the individuals, their membership ID numbers or mailing address and the name of the Branch within your Section for which they should be billed. Interested members may call 800-548-ASCE or 703-295-6300 or send an email to [member@asce.org](mailto:member@asce.org).

### 5.1 Assigned/ Subscribing Members

For purposes of record, allocation of members to Sections shall be in accordance with their addresses as recorded in the current records of the Society. Thus, every member is an "assigned member" of that Section, unless the member instructs otherwise. Members may select their Section/Branch membership based on either their business address or home address. Only those assigned members who subscribe, pay dues, and who meet the requirements of the Society's governing documents may vote. These customarily are termed "subscribing members."

### 5.2 Membership Records

ASCE members often move from one Section to another and, of course, there are always new members to add to the rolls, and dropped members to remove. The maintenance of accurate membership records by the appropriate Section officer is essential. This process is simple, if the officer closely follows the automatic system set up by Society Headquarters.

Names and addresses of all members, new, reinstated, moved, dropped, resigned or deceased are furnished on request from Society Headquarters in electronic format. Complete details of this system are shown in Appendix 4. Membership data is available via a File Transfer Protocol (FTP) server. Contact the Membership Department for assistance at (800)-548-2723, Ext. 6198.

There are only two exceptions that can interfere with this system: (1) failure to

notify Headquarters of changes in data (or survivors do not notify about deceased) or (2) the Section Secretary not keeping membership records up-to-date and not notifying Headquarters of all changes.

### **5.3 Mailing Lists**

ASCE mailing lists of members, produced from Society Headquarters' records, are available only for official ASCE business upon written request.

Any other use of the mailing lists, including copying, programming on computers, or distribution in any other manner or form is strictly prohibited without the written consent of ASCE.

## **6.0 COMMITTEES AND SUBSIDIARY ORGANIZATIONS**

### **6.1 Committees**

Regardless of the size of a Section/Branch or the geographical distribution of its members, most of its accomplishments can be traced to the work of various committees.

Committee appointments should be carefully made on the basis of interest, capability, and the amount of time a prospective committee member is willing and able to devote to the activity involved. You can assure continuity of committee work by staggering terms, so that all members of a committee do not retire at one time. Under this arrangement, the senior committee member usually serves as chairperson.

#### **6.1.1 Administrative Committees**

Administrative committees are necessary organizational tools for effective operation of a Section/Branch. They provide the means for applying concentrated attention to vital Section/Branch functions and afford opportunities for wider participation on the part of individual members in Section/Branch affairs.

##### **Suggested administrative committees:**

- Auditing
- Awards and Prizes
- College/University Advisory
- Community Involvement
- Finance
- Government Relations
- History and Heritage
- Membership
- Nominating
- Outreach
- Program
- Publications
- Public Relations

#### **6.1.2 Professional Committees**

Section and Branch members may become members of Society/Branch Level Committees by appointment. These committees are appointed by the Society's President-Elect each year. Members may be recommended for appointment by the Region Director. As committee appointments vary each year, members should contact their Region to determine the process needed for recommendation.

### **6.1.3 Technical Committees**

Technical Activities Committees are an important component of each Section/Branch because of increasing specialization within the broad profession of civil engineering. Such committees foster and coordinate activities of a technical nature within the Section/Branch with the aim of promoting the technical engineering competence of Section/Branch members.

An effective committee contributes by sponsoring and promoting seminars, Section/Branch technical programs, and field trips; encouraging the publication of technical papers; and generally stimulating communication between the Technical Divisions and Councils or Institutes of the Society. The committee should also promote the formation of Technical Groups or Institute Chapters. The Society's Technical Divisions are described and detailed in the Official Register. The ASCE Board of Direction encourages these groups as an important part of effective Section/Branch operation. This is particularly true where sufficient numbers of engineers of the same specialty reside in the same area.

## **6.2 Subsidiary Organizations**

### **6.2.1 Technical Groups or Institute Chapters**

An expanding area of Section/Branch activity has been the formation of Technical Groups or Institute Chapters within each Section/Branch. Such groups, dealing with a single specialized field of engineering, serve the needs and interests of members whose practice lies within one or more of these major fields.

Active local Technical Groups and Institute Chapters supplement the work of national technical divisions and councils and the various ASCE Institutes at the local level. Members personally benefit and, at the same time, aid in advancing the Society's objectives. Section or Branch Technical Groups or Institute Chapters are often the primary link to ASCE's Institutes.

The Section or Branch Board of Directors should coordinate activities of Technical Groups or Institute Chapters. Without coordination, the groups may become splinter organizations of the Section/Branch, where they may tend to operate as separate entities. Overcome this problem by requiring that the Board of Directors approve each group's activities at the start of the Section/Branch's fiscal year. It may also be desirable for the Treasurer of a Section/Branch to handle all the financial matters for each of the groups. Sections and Branches offering a number of Technical Groups or Institute Chapters, may distribute the responsibility for conducting one or more of the Section/Branch's meetings among each of the groups. Refer to Appendix 8 for further information on forming these organizations.

### **6.2.2 Younger Member Activities**

Participation of younger members, in all Section and Branch activities, without regard to grade of membership, is essential to the successful operation of all local geographic units. Younger members should be encouraged to participate in all

phases of Section/Branch activities and should receive strong consideration when electing officers or making committee appointments.

The younger engineer should recognize that many of the activities planned will further one's own professional knowledge, competence, and development. It is the responsibility of the entire membership to provide an atmosphere of "belonging" for the younger member.

To provide for the professional development of the younger member, as well as all members, the Section/Branch should:

- < Publicize courses leading to EIT and PE licenses.
- < Publicize seminars on technical subjects. For example: Engineering application of computers, soil mechanics, pre-stressed concrete, hydrology, effective writing courses, project and time management
- < Promote well-organized engineering inspection tours with the Program Committee.
- < Promote social activities geared to younger member interest.
- < Use the "buddy system" or "mentor system," i.e., assign an older member to a younger member.
- < Encourage employer support of all ASCE activities. Insert information on courses offered at nearby colleges that may be of interest to younger members in the newsletter
- < Promote interest and participation in civic affairs.
- < Provide speaker forums.
- < Encourage joint activities with nearby Student Chapters
- <

Several Sections and Branches have established Younger Member Forums or Groups. These bring together the younger element of the Section or Branch for discussion of problems of mutual interest and may serve as a training ground for future Section/Branch leaders.

Section and Branch officers should encourage Younger Members to express their views and ideas on all matters of Section interest. When the material is of Society interest in scope, they should consider submitting their ideas for publication in *CIVIL ENGINEERING* or *ASCE News*. Specific problems relating to the younger engineer should be directed to the Society's Committee on Younger Members for discussion and recommendation.

### **6.2.3 Inclusive Member Activities**

Diversity & Inclusion are strategically fundamental to sustaining the future of the civil engineering profession. Population trends indicate US academic pipeline and workforce demographics are rapidly changing and the future civil engineering workforce pool will be increasingly female, nonwhite and non US natural born citizens. In addition, the interdisciplinary nature and globalization of the industry demands a more inclusive approach to civil engineering projects.

In ASCE's Policy Statement of Diversity & Equity, ASCE supports and encourages the equitable opportunity for participation of all people within the civil engineering profession without regard to race, ethnicity, religion, age, gender, sexual orientation, nationality, or physical challenges. The Society will promulgate and implement programs designed to enhance opportunities for all members to participate and thrive in the profession.

It is essential to the successful operation of all local geographic units that Section Leaders demonstrate their commitment to the tenants of the policy by encouraging members from the aforementioned populations to participate in all phases of Section/Branch activities and that they receive strong consideration when electing officers or making committee appointments.

**Specifically, Section & Branches should:**

- Collaborate with the local affiliates of NSBE, SHPE, SWE & WEPAN to host events that promote civil engineering. leadership development, professional development, social and civic affairs
- Leverage Social media and the Section/Branch communication vehicles of ASCE Strategic Diversity partner organization local affiliates to widely publicize seminars, events, technical subjects and ASCE related resources
- Ensure guest speakers, member communications and event locales are diverse and inclusive of varying levels of accessibility
- Leverage or create formal or informal mentoring systems/opportunities i.e., assign a more seasoned member to mentor a younger member, male to female member or majority member to a member representing and underrepresented racial or ethnic group.
- Consider the establishment of a Diversity Committee or Younger Member Forum to:
  - ensure that Section & Branch programs, communications, resources and collaborations are inclusive
  - liaise with ASCE's Committee on Diversity & Inclusion (CDI)
  - aid in the establishment of a leadership pipeline for ASCE governance opportunities
  - encourage employer, partner and sponsoring organizations to support a broad spectrum of ASCE activities
  - consider submitting local and regional ideas & or new items for publication in Section & Branch Newsletters, *CIVIL ENGINEERING* or *ASCE Roundup*

Questions, suggestions or comments regarding ASCE Diversity & Inclusion related activities, policies or programs should be directed to ASCE's Department of Diversity programs via email at [diversity@asce.org](mailto:diversity@asce.org) or contacting ASCE'S Diversity Programs at 703.295.6405.

## 7.0 ANNUAL REPORT & TAX RETURN FILING

Sections have two requirements for annual financial reporting. One, the Section must coordinate with the Society Finance Department to file the Section's annual tax return with the IRS. (Some Sections may also be required to file state tax returns.) Two, the Section must submit an Annual Report by November 30 to the Geographic Services Department. Reports not submitted will cause the Section's annual allotment to be withheld until the report is received.

## 8.0 FINANCES

ASCE Sections are separate organizations with their own governing documents and are controlled by each Section's Board of Directors. As such, Sections must maintain accurate accounting records so that they can manage their finances and prepare required federal and state tax filings. Sections (and some Branches) have their own federal tax IDs and are classified as tax-exempt under a group exemption with the IRS.

Branches and other Subsidiary Organizations operate under their respective Section and their financial activity must be compiled with that their Section's for tax reporting purposes. The compilation of this information is an important responsibility of the Section treasurer.

## **8.1 Section Financial Manual**

The ASCE Finance Department has prepared a comprehensive Section Financial Manual, which is included as Attachment 6. The Manual is updated periodically and the most current version can be found at <http://gsd.asce.org/GeographicServicesResources>. Please use the password "ascesections" to access the document.

The Manual provides important information for Section, Branch and Subsidiary Organization officials (especially treasurers) regarding financial management, accounting and tax requirements. It is imperative that officials become familiar with the information in this manual and follow its guidance. The Society's Finance, Legal and Geographic Services Departments are always available to assist Sections with finance, accounting and other matters.

## **8.2 ASCE Collection of Section Dues**

Upon request, ASCE Headquarters will collect Section membership dues as part of the collection of Society Dues. You will receive notification each spring inviting you to have ASCE collect local dues. ASCE remits dues collected to Sections monthly.

# **9.0 ACTIVITIES**

A Section or Branch has a responsibility to hold meetings of the members of ASCE in the area allocated to the Section/Branch; and, it has authority to set up any program of meetings deemed to be in the interests of its members.

## **9.1 Reports and Publications**

Sections/Branches should not consider a newsletter as their only publication opportunity. Other opportunities include a Membership Directory and a Section Yearbook, both of which are looked on as prized accomplishments by Sections that make this an annual practice.

## **9.2 Contributions to ASCE Publications**

Announcements and reports of Section/Branch meetings and copies of all publications should be forwarded to Society Headquarters, the Society Director, and the Region Governors. This is essential to assure continuous coordination of Section affairs and often saves unnecessary duplication of time and effort. Also, the information received provides potential copy for *ASCEnews Weekly*, and the *Leadership Letter*.

Every member of the engineering profession has the obligation and the opportunity to add to the storehouse of engineering knowledge. Presentations and panel discussions before Sections/Branches and contributions to Society publications are the principal methods of distribution of such knowledge within ASCE. Each Section/Branch should forward to the editors of ASCE publications all manuscripts deemed worthy of publication, whether or not they have been presented before the Section/Branch. Generally, articles of broad interest are published in *Civil Engineering*. More technical papers, having to do with one of the specialty fields of the profession, appear in the journals of the various national technical divisions, where they can stimulate debate.

Some Sections appoint a reporter to send all news of merit to ASCE editors. More frequently, the Section secretary assumes this responsibility as a part of his/her regular contact with Society Headquarters. Some of the unique events in Sections and Branches are reported in *ASCE News*. The editors are always searching for Section activities of more than routine interest. Reports of actions that place the profession in a favorable public light are especially welcome. Shorter items reporting activities or trends of general interest to the profession are equally important.

### **9.3 Public Relations**

Every Section and Branch has the obligation and the opportunity to contribute to the public understanding of civil engineering and its greater impact on society. The messages and means of communications will vary from audience to audience.

Presentations and panel discussions at Section or Branch meetings to fellow ASCE members and other engineering groups and contributions of technical articles to Society publications are acceptable methods of communications with this audience.

#### **External Audiences**

In addition to your members, it is important that your Section or Branch maintain a relationship with your community, including voters, business leaders and politicians by becoming involved with issues within your community that civil engineers can impact. Your Section or Branch should also keep the community informed of any events or initiatives that you undertake that could potentially affect the community or would be of interest to them. Public Relations is an important component in building these relationships with external audiences as well as your members.

Public Relations include dissemination of important information about activities of the Section or Branch to your members and information about your events or issues that are relevant to the general public. This is primarily done through media relations, which builds relationships with print, television, radio and electronic journalists to publicize your information regarding your event or initiative to the general public. It is also an effective way to motivate the public to take action on something, such as getting them to attend Engineers Week events or to vote in support of increased funding for road maintenance.

In order to succeed at having your story placed with the media, you must be able to show there is value in your story to the community. .

ASCE's Media Relations team will assist your Section or Branch with outreach to the media. You are a valuable resource in identifying local topics that relate to civil engineers. Media Relations will be able to offer you tools and resources to share

your message effectively and assist you in outreach to the media. Media Relations should be aware of and approve your contact with the media, including newspaper, television, radio, and online reporters, editors and producers, before you reach out to them

### **What is News?**

If you read the newspaper or watch the nightly news, it seems as if anything can be considered news these days. However arbitrary as some news items seem, often media professionals will use established criteria to determine if an event, issue or statement is newsworthy.

The following criteria are important when considering whether your event or issue is of interest to the media:

**Relevance to the Community:** **Print media, (particularly** newspapers), television and radio broadcasts serve as a community's town crier. People look to the news for everything from traffic reports to high school football standings. One of the most frequently asked questions a reporter or editor will ask is how your topic, issue or event affects the local community. News of a major public works program that will improve roadways and ease congestion will be of great interest to local media and their audience. A Section or Branch dinner where an ASCE dignitary is speaking may or may not be appealing depending on the accomplishments of the speaker, the topic of the speech and the connection to the local community. Each contact with local media is an opportunity to strengthen the relationship, have your facts (who, what, where, when and most important why is it important to the public) identified prior to your outreach.

**Timeliness:** Is your story idea, event or issue related to a seasonal occurrence? While issues that civil engineers deal with impact the community daily, you will have a better shot of getting coverage if you pitch your story idea (convincing an editor, producer or journalist to cover your event or issue) when it is relevant. Releasing a news release about airport congestion may make more of an impact if released at the start of a busy travel season such as Memorial Day weekend or Thanksgiving. Getting coverage for an engineering career day at the local high school may be more likely during National Engineers Week than during the summer months when there's no school in session.

**Human Interest:** Stories of perseverance and personal achievement always capture the imagination of the public. Could there be a human interest element to your event or issue? For example, if your Section or Branch is sponsoring a career development program for socio-economically disadvantaged students, then let the students' accomplishments and potential be the focus of your event. Or perhaps there is an interesting story about the person responsible for the latest civil engineering feat in your community. Did he or she rise to the top of the profession despite having to overcome serious adversities? Or will a new public works project change the economic fortunes of a formerly decaying neighborhood? Finding the emotional thread of your event or issue could help you gain visibility for your message.

**Newsmaker:** Why is it that the mayor gets coverage for throwing out the first ball at the Little League championships but your Section president cannot get attention for testifying before the city council on the need for more lanes on the city's expressway? The media will take an interest in an event if a newsmaker, such as a celebrity, politician, local personality, or even a reporter is involved with the event. When planning a news conference or career day at a local school, invite a local celebrity to participate. Perhaps the mayor can address the audience at National Historical Civil Engineering Landmark dedication. Or perhaps the



hometown NFL quarterback holds an undergraduate degree in civil engineering. Ask him to participate in Civil Engineering Career Day at the local high school. By forging relationships with newsmakers, not only will you gain an influential supporter, but you will also raise the visibility of your organization and profession.

**Background Information:** Often when there's an issue that is receiving a lot of attention. News organizations are anxious for any background information or related stories to expand their coverage of the topic. If appropriate, offer to provide background in the form of expert opinions, spokespeople, results from past studies or surveys, or your Section or Branch's position on the issue. For example, if the community is engaged over a debate regarding expansion of a major roadway through a residential area, offer ASCE position papers on infrastructure maintenance. Offering your Section or Branch as a source with credible information is a sure way of building a long-lasting relationship with the media.

**Controversy:** Nothing sells more newspapers or boosts ratings like a controversial topic and most publications and television and radio stations are in the business to profit. Even though chances are that your Section or Branch may never become mired in anything more controversial than the ramifications of a roadway or bridge expansion, know that these types of issues are more likely to be covered by the media than a Section dinner at the Elks Lodge.

**Entertainment Value:** Because of the gravity of most news stories, it is not unusual for editors or producers to feature some light-hearted story or "news-of-the-weird." Keep this in mind when pitching an event such as a toothpick bridge building contest. While there usually is an educational message underlying a bridge building contest, the media may find the novelty of building a bridge with toothpicks appealing to its audience. The educational message will get through as well.

**Visuals:** A strong visual component is especially important to television and print media since they both rely on either film or pictures to help tell their stories. Take this into consideration when planning an event such as a news conference or dedication. A news conference is not always a draw for the media, regardless of the significance of your announcement, especially if your visual is a series of talking heads in front of a podium. Be creative with the props you use or the location you select for your event or news conference. For example, if your Section or Branch is releasing the results of a Regional Infrastructure Report Card, consider holding a news conference at a school that has temporary trailers for classrooms to underscore the problem of overcrowded classrooms or at the intersection of a major traffic artery to illustrate road conditions. Print an oversized report card so that the cameras can view it with ease. These details will not only help in conveying your message, it can make the difference in whether your event gets front page coverage or a two line blurb in the metro section.

**ASCE Newsworthy Events and Issues:** There are a number of events and issues that have proven to be of interest to the media in various markets across the country. ASCE recommends the following events and issues as having potential for newsworthiness.

**Outstanding Civil Engineering Achievement Award (OCEA):** This prestigious award is presented each year to the most outstanding civil engineering project. Often the award is presented to a project that has been widely followed within the community it serves. Because of the community interest in the project and the significance of the award, the potential for media coverage is good. To maximize that potential, be sure to plan a dedication ceremony that is visually strong and features local newsmakers. A project need not win the national OCEA Award to

gain news coverage. Announcing a state or regional OCEA designation can be just as effective.

**National Historical Civil Engineering Landmark Dedication (NHCEL):** Just as with OCEA, NHCEL is a unique distinction that your Section or Branch will want to tout to the public. Typically the landmark in question is a beloved and recognized part of the community. As with OCEA, your Section or Branch should plan a dedication ceremony that is media-friendly.

**Engineers Week:** This annual observance is an opportunity to celebrate the achievements of civil engineers, educate the public about the profession, and encourage students to consider engineering as a career. There are a number of events that occur yearly during this week that have consistently drawn attention from the media including the New Faces of Civil Engineering Professional and College Editions as well as the Future Cities Competition. Because this observance takes place during the same time each year (during the last week in February) your Section and Branch has enough lead time to plan a newsworthy event that would capture the media's attention in your market. For ideas on activities, visit Engineers Week Website at [www.discoverE.org](http://www.discoverE.org).

**Excellence in Journalism Award:** The Excellence in Journalism Award is a wonderful opportunity to recognize the media for covering issues and projects that raise the profile of civil engineering. It also is an excellent opportunity to build direct relationships with those who cover issues and projects of interest to the Section or Branch. Presenting the award at a news conference will not attract much attention, unless the award is presented at the project site that was the focus of the journalist's article. If there is not a strong visual to accompany the award presentation, then the Section or Branch should work with the journalist's publication to run a story on the award or issue an ad congratulating him or her on receiving the honor.

**New Public Works Projects and Construction:** Public works and new construction projects are usually of great interest to the community, and consequently to the media who will cover every possible angle of such projects from budgetary issues to disruption of traffic. If appropriate, your Section and Branch can offer background material or expert opinion on the project or use the project to open discussion about an issue or topic.

**Infrastructure Maintenance:** Since every community relies heavily on its infrastructure to maintain its citizens' standard of living, keeping roads, bridges, airports and water supplies in good condition is a community issue. ASCE supports timely infrastructure maintenance and modernization, and encourages Sections and Branches to educate the public and legislators about why investing in infrastructure cannot remain an "out of sight, out of mind" issue.

**State and Local Infrastructure Report Cards:** The success of "ASCE's Report Card for America's Infrastructure" ([www.infrastructurereportcard.org](http://www.infrastructurereportcard.org)) has inspired a number of Sections and Branches to develop their own Report Cards through the State and Regional Report Card Program. A state or local Report Card on Infrastructure has the potential to be an appealing product for the media and a useful tool to educate elected officials, provided that the results are packaged so that it attracts their attention. For more information on developing and releasing a Report Card on Infrastructure, email [reportcard@asce.org](mailto:reportcard@asce.org) to receive the Report Card Guidebook and state-specific guidance from ASCE's Government Relations staff.

**Professional Achievement of Section or Branch Members:** Most newspapers

have an “On-the-Move” section that lists job promotions and professional achievements of local leaders. A news release sent to the editor that lists your Section or Branch newly-elected officers or a distinguished achievement of a member is a quick way of gaining recognition for your Section, Branch or member.

### **Public Relations Coordinator**

ASCE encourages every Section and Branch to appoint a Public Relations Coordinator to manage media requests and broadcast Society efforts to the public. The PR Coordinator is a volunteer position and is encouraged to work with ASCE’s Manager of State Public Relations on any media initiatives.

The ideal candidate will be comfortable with message development, press relations, and public speaking. Responsibilities may include:

- Serving as a liaison between the Section/Branch leadership, ASCE staff, and the media.
- Monitoring and identifying opportunities to engage with the public on local issues.
- Participating in ASCE’s training opportunities such as webinars, PR University, and the Legislative Fly-in
- Publicizing Section/Branch initiatives and events to local media

The PR Coordinator role can work in conjunction with the ASCE Manager of State PR on the responsibilities mentioned above. For more information or to answer any question, please contact Becky Moylan in ASCE Communications and Media Relations at [bmoylan@asce.org](mailto:bmoylan@asce.org) or 202-295-6472.

## **9.4 Pre-College Outreach**

ASCE maintains an active pre-college outreach program that provides education and support for member volunteers and aims to inform students, educators, and the general public about the important role of civil engineering in the world and the challenges and rewards inherent in the profession of civil engineering. From training volunteers, to providing innovative programming and resources, to working with engineers, parents, and educators, ASCE is reaching out to children in grades pre K - 12 through research based initiatives designed to engage pre-college audiences in educational experiences that support engineering.

Through ASCE’s K-12 Programs, ASCE has partnered with leading educational groups, engineering associations, the National Science Foundation, the United Engineering Foundation, the highly-rated PBS network WGBH and Universal Studios, to share technical expertise and to bring members ground-breaking resources to advance formal and informal engineering education. ASCE also provides strong leadership within the K-12 STEM community through active involvement in the National Engineers Week Foundation coalition, the STEM Education Coalition, and the K-12 working group of the American Association of Engineering Societies.

ASCE’s “Civil Engineering Clubs™”, are high school after-school club program that have attracted the attention of our members and school staff in many locations. Club guides with suggested activities, field trips, and speakers cover topics including bridges, water resources, and transportation. Civil Engineering Clubs provide high school students access to engineering mentors and an opportunity to fully explore the civil engineering career path.

If you would like information about all of your K-12 Outreach resources, please visit <http://www.asce.org/Outreach/K-12-Outreach/>

## 9.5 Professional Conduct

Every member of ASCE must adhere to the professional standards of the ASCE Code of Ethics and the "Guide to Professional Practice under the Code of Ethics." The Society has had a Code of Ethics since 1914. The Code of Ethics and Guidelines to Practice can be found in the *Official Register*.

Every member of the Society has a professional responsibility to report to the Society any alleged violations of the Code of Ethics. The Committee on Professional Conduct (CPC) may direct a formal investigation of an alleged violation of the Code. Charges against a member may be initiated upon the recommendation of the CPC or upon the written request of ten or more members. Only the Society's Executive Committee or Board of Direction can conduct a formal hearing to determine whether a violation has occurred and take disciplinary action.

The Section/Branch plays a vital role in maintaining high standards of ethical conduct. First, by holding meetings, seminars, and panels on professionalism and ethics, Sections/Branches help to educate their members in proper ethical conduct. Second, the Section/Branch can assist the CPC in identifying potential violations by reporting alleged violations from local media reports or other news sources. Third, the Section/Branch may serve as a local resource for the CPC, by assisting the national Committee on Professional Conduct in conducting investigations to determine the facts in alleged violations of the Code. Special guidelines for Sections and Branches appear in Appendix 7.

Because of the confidential nature of professional conduct matters and the potential damage to the reputations of individuals who may be innocent of the charges, Section officers should be extremely careful in these matters. The Society's Executive Director or the staff liaison to the Society's Committee on Professional Conduct at Headquarters should be contacted if questions arise.

## 9.6 Diversity Programs

ASCE's diversity programs, conducted under the auspices of the Committee on Diversity and Inclusion (CDI) to promote opportunities for growth and leadership in civil engineering to anyone who is willing to take the challenge and grow professionally—regardless of race, ethnicity, religion, age, gender, sexual orientation, nationality, or physical challenges. ASCE initiatives to promote diversity and inclusivity within the civil engineering profession include partnering with other US based engineering organizations in delivering programs related to diversity and inclusion; conducting sessions at ASCE annual and specialty conferences; providing members with the tools and training needed to support diversity within their companies; promoting diversity in civil engineering at institutions of higher learning; establishing role model and mentoring programs; and conducting seminars and workshops on diversity-related topics. More information on Diversity Programs can be found at [www.asce.org/diversity](http://www.asce.org/diversity)

ASCE strongly supports the inclusion of civil engineers from all backgrounds and professional experiences. To ensure that we are actively supporting members from populations grossly underrepresented in the civil engineering workforce, the

Society (under the auspices of the Committee on Diversity & Inclusion (CDI)) spearheads strategic partnerships with diversity-focused engineering organizations, and maintains mutually beneficial Memorandum of Understandings (MOU) with several of the following organizations:

- \*The National Society of Black Engineers (NSBE): [www.nsbe.org](http://www.nsbe.org)
- \*The National Society of Hispanic Professional Engineers (SHPE): [www.shpe.org](http://www.shpe.org)
- \*The Women in Engineering Pro Active Network (WEPAN): [www.wepan.org](http://www.wepan.org)
- The National Society of Women Engineers (SWE): [www.swe.org](http://www.swe.org)
- The American Indian Science & Engineering Society (AISES) [www.aises.org](http://www.aises.org)
- The National Association of Minority Engineering Program Advocates (NAMEPA) [www.namepa.org](http://www.namepa.org)
- The AAAS Project on Science, Technology & Disability
- The National Action Council for Minorities in Engineering (NACME) [www.nacme.org](http://www.nacme.org)
- The American Association of Engineering Societies (AAES) Diversity Coalition [www.aaes.org](http://www.aaes.org)
- DiscoverE Diversity Council (formerly National Engineers Week) [www.discovere.org](http://www.discovere.org)

*\*\*Denotes Strategic Partner that ASCE has an active MOU with. \*\**

## 9.7 Prizes and Awards

There are two general classifications of member prizes and awards of concern to Sections/Branches. First, there are prizes and awards by the Society to individual members for outstanding professional and technical achievements. Second, there are prizes sponsored by the Section/Branch, either for its members or for students belonging to chapters in the area. The current ASCE *Official Register* carries full details regarding Society prizes and awards. Sections should encourage and recognize individual achievement.

Sections/Branches sponsor their own contests and awards programs and submit these awards in the Society's competition. Typical Section awards include: an "outstanding senior" award which may consist of the payment of the first year dues to ASCE; awards for papers presented; attendance records; as well as an Engineer of the Year. Forward any information on special efforts by Sections to select an Outstanding Civil Engineering Achievement (OCEA) for Society recognition to the Region's Society Director.

The Leader Training Committee (LTC) awards the Outstanding Section and Branch Award to recognize Sections and Branches that have made outstanding contributions to the Society and their community through their programs and activities and the Outstanding Section and Branch Web Site Award. See Appendix 15 for additional entry information and forms.

## 9.8 Public Policy Advocacy

ASCE encourages State Councils and Sections/Branches to take a more active role in shaping public policy at the national, state and local levels. As civil

engineers, we must be acutely aware of the decisions being made in government that affect the way we carry out our professional duties in service to the public.

ASCE Sections are permitted to lobby and educate public officials about issues affecting civil engineering. However, as a tax-exempt organization {501(c)(3)}, the Internal Revenue Service does place some restrictions on lobbying by your organization; and strictly prohibits participation in any partisan political campaign on behalf of or in opposition to a candidate for public office.

Despite these limitations, we each have an obligation to be involved in government affairs. As Citizen Engineers, we can provide the best technical information and advice to public office holders and thereby, allow them to make informed decisions on issues which impact public welfare.

At the federal level, ASCE members are encouraged to join the ASCE Key Contact Program. This program gives you the opportunity to get involved in the Congressional debate.

ASCE Key Contacts receive Key Alerts, which contain timely information about important civil engineering issues and advice on how to best influence the legislative process. The Key Alert contains all the information necessary for composing a cogent letter to your Member of Congress. For more details about the ASCE Key Contact Program, please contact the Washington Office at [govwash@asce.org](mailto:govwash@asce.org). Also see Appendix 10 for additional details.

It is ASCE's goal to have a public policy advocacy program established in every State and the District of Columbia. At the state and local levels, State Councils, Sections and Branches are expected to take the lead in public policy involvement activities. Many Sections and State Councils have created a legislative affairs committee to oversee these activities. These activities include: (1) tracking legislation and regulations of importance to civil engineers; (2) arranging and documenting meetings between engineers and legislators; (3) testifying before state and local legislative and regulatory bodies; (4) promoting qualified engineers for appointment to state positions; and (5) building coalitions with other professional engineering and industry organizations.

If your State Council, Section or Branch is interested in starting a state government relations program, please contact the Government Relations Department at [govwash@asce.org](mailto:govwash@asce.org).

## **9.9 Endorsements**

The constructive contribution of civil engineers to the profession of engineering is often affected by the operation of:

- < Examining and Registration Boards
- < Governmental Departments and Agencies
- < Public Policy-making Commissions and Authorities

Each Section/Branch should have some recognized procedure for endorsing engineers for service to the above when their particular knowledge is in the public interest. A special standing committee for this purpose has proven to be effective.

### **9.9.1 Endorsements for Non-ASCE Conferences**

A Section/Branch may receive requests to endorse non-ASCE conferences. Such endorsements should only be given after careful evaluation.

## **9.10 Other Local Organizations**

Sections and Branches are encouraged to associate and cooperate with local groups of other national organizations in engineering councils or action groups devoted to community and state affairs. Sections/Branches should not, however, incorporate in their constitution or bylaws any provisions for affiliation with other organizations without prior approval of the national Board of Direction. Also, Sections/Branches must not affiliate with any movement or organization that is national in scope since ASCE is national and international in its activities.

# **10.0 STUDENT AFFAIRS**

## **10.1 Student Chapter & International Student Group Activities**

Within the area of nearly every Section/Branch there are one or more Student Chapters, and/or International Student Groups. Student Chapter members are eligible for membership in the Section (as Society Student Members). Efforts on behalf of students are continually encouraged because students are potential members of both the profession and the Society. Common activities include:

- < Joint meetings of Sections/Branches with Chapters or International Student Groups.
- < Furnishing speakers for Chapter or International Student Group meetings.
- < Assistance with arrangements for field trips.
- < Prizes, awards and scholarships.
- < Sponsorship and assistance for student competitions
- < Assistance with employment opportunities.
- < Advice in registration procedures and the sponsoring of refresher courses for registration exams.
- < Encourage and support Practitioner and Faculty Advisors to attend the Practitioner and Faculty Advisor Training Workshop (PFATW) held each year at ASCE Headquarters.

The requirements for establishment of a Student Chapter, or International Student Group are outlined in the ASCE Bylaws. All ASCE student organizations operate under the direction of the Department of Student and Younger Member Programs at ASCE Headquarters. A Student Organization Handbook is available from ASCE Headquarters. Please email [student@asce.org](mailto:student@asce.org) with specific questions relating to ASCE Student Chapter activities or to ask questions or raise concerns to ASCE's Committee on Student Members (CSM).

## **10.2 Student Organization Advisory Personnel**

Each Student Organization, as identified in 10.1 above, has at least three appointed advisory personnel: a Faculty Advisor and two Practitioner Advisors. The Faculty Advisor is appointed by the University Department Head since the Student Organization is part of the university and is affiliated with ASCE. The Practitioner Advisors are appointed by the Local Section Board of Directors. All are approved by the Section Board of Directors for three-year terms. Practitioner Advisors, on the other hand, should be practicing engineers who can offer students a point of contact to both the professional practice of civil engineering and the activities of the Section. It is very important that the Section/Branch seek replacements for Practitioner Advisors when necessary. Such an appointment is a

richly rewarding experience.

Sections/Branches should support a Student Activities Committee composed of the Practitioner Advisors, Faculty Advisor, and other interested members, especially recent graduates. The Leader Training Committee strongly recommends that Practitioner Advisors and Faculty Advisors to Student Chapters be invited to attend Section board meetings, be considered for "ex-officio" members of the board, and report on the activities of their student organizations.

## 11.0 COUNCILS

Councils are organized under the ASCE Bylaws. The ByLaws provide an overview of Council activities. The *Official Register* contains a complete listing of Councils.

### 11.1 Establishment of Councils

A Council may be established by the Board of Governors of their Region, upon written request from two (2) or more Sections for formal affiliation. If a Council adopts governing documents those documents and any amendments thereto shall be approved by the Region Board of Governors. Any Council may be dissolved or reformed by the Board of Governors of their Region.

### 11.2 Activities of Councils

A Council of Sections promotes the interchange of ideas and information among Sections in a joint meeting of the members or representatives of several Sections in an area. Following are some suggestions for making meetings meaningful:

- < Each Section, in the Council, in rotation, should serve as host. Appoint a committee of delegates from the participating Sections to begin planning a year ahead for each meeting.
- < A hotel with ample accommodations, acceptable to the members of the Council, ideally near some important engineering project, provides an excellent meeting location.
- < Professional papers on issues of general interest, excursions and social events are all worthwhile parts of the meeting program. However, Council business is of primary importance.
- < Consider inviting local Younger Member Groups and Student Chapters/International Student Groups in the area to participate.
- < Invite ASCE Society level officers.

## 12.0 REGIONS

Regions are developed and organized under the ASCE Bylaws. There are two kinds of Regions – both based on membership. There is one Technical Region comprised of those who are members of the Institutes, and there are ten Geographic Regions comprised of those in specific geographic areas. Within the Geographic Regions there are nine domestic Regions and one International Region. The *Official Register* contains a complete listing of Regions.



## **12.1 Purpose and Objectives of Regions**

- < Strengthen the Society by serving as an intermediary governing body that provides support to all entities within the Region and bridges communication between Society and Region entities that include Sections, Branches, Younger Member Groups and Student Chapters.
- < Function as a resource to the Sections/Branches and support their efforts. Care should be taken that the policies and procedures of the Board of Governors are designed for the benefit of the Sections/Branches.
- < Promote Society candidates from within the Region.
- < Participate at Multi-Region Leadership Conferences.
- < Perform the duties as defined in the Society's Bylaws and the additional duties defined in the Society's Rules of Policy and Procedure.
- < Lead Regional activities that may include Region Assemblies, scholarships and awards.
- < Promote media relation opportunities within the Region and foster communication with the public-at-large.
- < Provide leadership in the Region to address local legislative issues.

## **13.0 ASCE ORGANIZATIONAL STRUCTURE**

The Society provides help to Sections and Branches in performing their activities. This chapter outlines the interaction between the Society and the work of Sections and Branches.

### **13.1 Board of Direction**

The corporate power of the Society is vested in the Society's Board of Direction, subject to the Constitution of the Society. The Board of Direction provides Bylaws which prescribe regulations for the exercise of the corporate powers vested in it. The Board of Direction makes an annual report to the membership, which includes a financial statement and other matters as may be deemed appropriate. It is an acceptable practice for Sections/Branches to invite Society level officers to attend their functions. Appendix 3 offers information to assist in the planning and preparation of a visit by a Society leader.

#### **13.1.1 Geographic Units**

Sections are formed to meet the technical and professional needs of members at the local level and to assist them in accomplishing the purposes of the Society. Many Sections have formed Branches to serve members at one or more centers of engineering populations in these areas.

#### **13.1.2 Election of Officers**

Procedures for nomination and election of ASCE officers are set forth in the Society's Constitution and Bylaws. These provisions assure representation for all

members.

The steps for nominating and electing officers are prescribed in the Society's Bylaws.

## **13.2 Committees**

ASCE's committees carry on constructive activities for the Society as indicated in the *Official Register*. The Board of Direction appoints or delegates committee members to the appropriate umbrella committee, designates the chairs, and outlines the duties of all committees. Committees assist, through investigation and recommendation, the Board of Direction in the responsibility of planning and managing Society programs and business. These committees are outlined in the Society Bylaws and the Rules of Policy and Procedure in the *Official Register*.

### **13.2.1 Administrative Committees**

Administrative Committees, composed partly of members of the Board of Direction and partly of members from the membership at large, or entirely of members from the membership at large, are appointed by the Society President with Board approval.

### **13.2.2 Board Appointed Committees**

Many committees are considered Board Level Committees and as such report directly to the Board of Direction. These committees are listed in the *Official Register*.

### **13.2.3 Joint Committees**

The Board of Direction appoints from its own members or from the membership at large, specially qualified persons to represent the Society on committees formed jointly with other organizations for the purpose of advancing the technical, professional, or economic status of engineers.

### **13.2.4 Appointments to Society Committees**

Appointments to Professional and Technical committees recognize individual talents and diversity, both geographically and among fields of occupation. Recommending men and women of exceptional ability or willingness to serve on an appropriate body is a service to the Society. Such names can, and should, be suggested by members at any time. Sections play an important role in nominating members.

## **13.3 Leader Training Committee (LTC)**

The Leader Training Committee (LTC) consists of no more than 10 Society members, including 2 current or past Geographic or Technical Region Governors. A minimum of 5 different Geographic Regions are represented

LTC has the following responsibilities:

- < Coordinate activities of the geographic units

- < Foster communications between the Society and the geographic units
- < Plan and executive the Multi-Region Leadership Conferences
- < Plan and execute the Presidents and Governors Forum
- < Develop training opportunities for Society entities as approved by the Board of Direction
- < Act as a forum for exchange of best practices among the Regions
- < Develop and maintain interactions between institutes and geographic units
- < Develop and maintain applicable operational handbooks

Sections should feel free to call upon any member of LTC for advice, or to make suggestions regarding new or improved Section procedures or activities.

### **13.3.1 Presidents and Governors Forum**

The Presidents and Governors Forum is held annually in conjunction with the Fall Board Orientation for the presidents of Sections and Branches and Region Governors. Section and Branch officers and Region Governors have an opportunity to learn about current plans of the Society and to hear discussions on issues facing the civil engineering profession while meeting their peers from around the world. This get-together provides a unique opportunity for the leadership to learn of next year's goals and objectives and share ideas and information on better ways to serve the ASCE membership and public communities.

The objectives of the meeting are to:

- Provide an information exchange between Society Officers, Section and Branch presidents, and Region Governors
- Provide a follow-up to the Workshop for Section and Branch Leaders conducted at the Multi-Region Leadership Conference

### **13.3.2 Workshops for Section and Branch Leaders (WSBL)**

One of the best ways to strengthen the program of activities in each Section is the exchange of ideas and methods. To provide for and encourage such exchange, the Leader Training Committee sponsors a series of Multi-Region Leadership Conferences for Section and Branch Officers called the Workshops for Section and Branch Leaders (WSBL).

The WSBL's expose incoming officers of Sections and Branches to programs and activities of the Society and provide them with the tools and inspiration to be effective leaders. Other benefits include opportunities to meet Society staff and officers at all levels, to exchange ideas with contemporaries, Younger Members and students, and to be exposed to issues at the Society and Regional level.

Every Section and Branch is invited to participate in one of these workshops annually. Attendance at the conferences is authorized for delegates from each Section and Branch. ASCE reimburses for appropriate travel expenses of delegates on a basis established by the Board of Direction.

## 14.0 SERVICES, SUPPORT AND COMMUNICATIONS

### 14.1 Headquarters Staff

The Geographic Services Department staff supports the leaders of the Sections, Branches and Regions.

### 14.2 Publications

Numerous publications help Sections and Branches carry out their work. A current listing of ASCE publications to aid Sections is available on the ASCE Web site at <http://www.asce.org/Regions-Sections-Branched/Publications-and-Resources/Publications-and-Resources/>

### 14.3 Newsletter

Regular reporting of Section/Branch affairs to the members through a local newsletter should be a primary responsibility of Section/Branch leadership. Newsletters are vital for assuring involvement and enthusiasm of active members and for attracting new members. Many Sections and Branches generate advertising revenue through their newsletter via advertisements. *(Note, however, that advertising revenue may be subject to federal Unrelated Business Income Taxes if the revenue exceeds the cost of production).*

ASCE recommends that Sections distribute their newsletters to all assigned members. You may also wish to consider distributing to your Newsletter to your Region Governors and the Geographic Services Department Staff (nberson@asce.org).

Occasionally there may be sensitive topics or issues which the editor should check with ASCE Headquarters, due to potential legal ramifications. An example would be Competitive Bidding, where antitrust considerations prohibit ASCE and its Sections from publishing anything which prohibits or limits the submissions of price quotations for engineering services by members, or which implies that the submission of price quotations for engineering services by members is unethical, unprofessional or contrary to any policy of the Society.

### 14.4 Logotype Policy

ASCE has developed corporate identity standards, referred to as *Official Society Marks*, and provides camera ready reproduction art for Sections/Branches/Student Chapters and Clubs to use on official Society stationery or other productions. Refer to Appendix 11 for further details. There is also a branding toolkit available at <http://www.ascebrandingtoolkit.org/pages/login.php> where you can access different formats of your logo.

### 14.5 eRoom

In a continuing effort to enhance communications among all geographic unit officers, Geographic Services offers an internet-based tool called eRoom. This digital workplace provides users with the ability to upload documents, as well as initiate and participate in discussion groups. For additional information, contact Geographic Services at 800-548-2723, ext. 6255.

## 14.6 Recognition Items

Certificates embossed with the ASCE logo are available from Geographic Services for a nominal fee. A customized certificate incorporating a personalized citation may also be purchased. Section and Branch Past President pins are available for a nominal cost as well. Information and an order form may be found in Appendix 13.

## 14.7 Social Media Tools

Interested in learning how your Section or local group can effectively use social media to reach members and get your message across? Visit ASCE's online Social Media Playbook to get connected with resources that can help you make the most of your efforts: <http://smp.asce.org/>. Whether you're new to social media or have been at it for a while, the social media team can help you create a strategy that will better position you for success. Just remember, before getting started, submit a social media request: <http://smp.asce.org/submit-a-social-media-request/>. Already established on social media or have any questions? Contact the social media team at [socialmediahelp@asce.org](mailto:socialmediahelp@asce.org).

## 15.0 ACTIONS REQUIRED OF SECTIONS

Sections and Branches play an important role in the functioning of the Society. Some of the most important actions required of Sections are outlined in the following paragraphs.

### 15.1 Annual Tax Returns

Sections must file tax returns with the IRS and certain states annually. The federal returns need to be filed with the IRS by February 15 after the end of the September 30 fiscal year. Generally, the return should be filed via certified mail by February 15, but the IRS allows for a 3-month extension with the filing of the required extension request. ASCE's Finance Department can provide more information.

### 15.2 Honors, Awards and Contests

The Society Honors and Awards Program has as its basic objective the advancement of the engineering profession by emphasizing exceptionally meritorious achievement. Traditionally such accomplishments have been in the form of contributions to the profession, achievements in a particular civil engineering discipline or published work such as technical papers. The awards are made by the Society, on the recommendation of Society agencies designated in each particular case.

Most of these honors may be presented yearly. Details, including eligibility and presentation, appear in the *Official Register*. Society Awards are presented at various venues throughout the year, with the major award event scheduled in conjunction with the Society's Annual Conference. Each Section should have an awards program to honor local achievements and should nominate its members for Society Awards.

Sections are also urged to nominate eminent engineers for ASCE's Distinguished Member program and for Outstanding Projects And Leaders (OPAL) leadership awards in the

categories of Construction, Design, Education, Government and Management. Sections with Engineer of the Year award are strongly urged to develop these candidates into nominations for both Distinguished Member and OPAL leadership awards. Sections that recognize Projects of the Year are urged to ensure winning projects are entered at the national level for Outstanding Civil Engineering Achievement (OCEA) awards. Contact [awards@asce.org](mailto:awards@asce.org) for further information or assistance.

A special committee in the Section/Branch should be charged with the Section's award program.

Several Section and Branch Awards are also sponsored by the Society including the Outstanding Section and Branch Award, and Outstanding Section and Branch Web Award. Information on these awards is available at <http://www.asce.org/Regions-Sections-Branches/Awards/Section-and-Branch-Awards/>

### **15.3 Important Dates**

Headquarters staff develops and issues a listing of important dates which require action by the Sections. Appendix 12 provides an action calendar for important dates and events. This calendar is updated by the Geographic Services Department. Please refer to the most current calendar for up to date information on dates and activities affecting Sections and Branches.

### **15.4 Operations Manual**

Each Section should create and maintain an Operations Manual. This publication should contain statements of the organization, duties and responsibilities of officers, committee chairs, committees, and Branch officials, and procedures. The manual should be organized to show each standing committee under the general heading of the elected officer with whom the committee is to function. An organization chart, general calendar of events, and a copy of the constitution and bylaws could also be included for reference.

### **15.5 Good Governance Policies**

As part of its increased focus on governance practices of nonprofit organizations, the IRS amended the annual tax return for non-profits to include questions concerning the adoption of several "good governance" policies by the reporting organization. While adoption of these policies is not mandatory, the policies are thought to play a valuable role in ensuring that tax-exempt and charitable organizations take good care of the funds entrusted to them by the public, and organizations without such policies may be subject to increased IRS scrutiny in the event any additional "red flags" are identified in the nonprofit's annual tax report.

ASCE has adopted these "good governance" policies at the Society level and has asked Section Boards to adopt similar policies at the Section level. The four recommended policies address: 1) conflicts of interest; 2) Fraudulent or Dishonest Conduct Policy; 3) Record Retention Policy; and 4) Joint Venture Policy. A copy of three of these recommended Section-level policies is included in Appendix 14.

## APPENDIX 1

### POLICY GUIDE FOR THE FORMATION OF NEW SECTIONS & BRANCHES

#### Formation of New Sections

Sections are formed in order to promote Society Objectives at the local level. Members are encouraged to actively participate in public affairs of interest and concern to civil engineers. It is important, however, that such activities are limited to the geographical area of the Section, unless there is a cooperative effort on the part of two or more local Sections. It is desirable for a Section to have ease of communications, sufficiently large membership, an operative area of similar interests and defined geographic boundaries. The best form of Section organization is based upon state or country boundaries. Fragmentation should be avoided. For ease of communications, there should be as few Sections as possible.

#### References

ASCE *Official Register*  
ASCE Constitution  
ASCE Bylaws  
ASCE Policy and Procedure

#### Procedure to Form a New Section

Contact the Governing Documents Committee and Region Board of Governors concerning the planning and possible establishment of all new Sections.

Applications for a new proposed Section should include, in writing:

- A statement explaining how the proposed new Section will enhance Society objectives in the local area more than the existing representation
- Geographic boundaries by zip code
- Opinions expressed from adjoining and/or affected Sections

#### Procedure for Upgrading from International Group to Section

As ASCE's membership grows internationally, International Groups are formed to furnish ASCE members living in countries other than the US, Canada, and Mexico with opportunities for group activities related to their profession within their respective countries. A Group is the initial step towards forming a Section of ASCE. International Groups apply to the Region 10 Board of Governors to become an International Group. Once successfully operational for a year, the International Group may apply to upgrade to a Section.

This application should include:

- A list of the Group's meetings over the past year, including dates, attendance, topics discussed, and speaker names, if appropriate
- A petition signed by a minimum of twenty current ASCE members (with membership number) and an indication of their desire to upgrade to a Section
- A copy of the proposed Section Constitution and Bylaws
- A list of current and proposed officers

## APPENDIX 1

- Method of dues collection when the Group becomes a Section
- Method of disseminating information to the membership

### Summary

The main guidelines for the formation of Sections and Branches recommended by the Member Communities Committee

- Additional Sections should not be formed, unless under extraordinary circumstances
- A number of Sections within a state area should be urged to consolidate and form one Section with local Branches
- Branches should be formed wherever it is in the best interests of the Society

### Formation of New Branches

Branches are created to encourage more active member participation by making Society activities more accessible. Organizing more Branches within a Section is preferred to forming new Sections, in order that area or state-wide coordination of ASCE activities can be continued. The operation of a Branch is similar to that of a Section. The Member Communities Committee encourages the formation of Branches where geographical distribution of Section members warrants.

### References

ASCE *Official Registrar*

ASCE Constitution

ASCE Bylaws

ASCE Policy and Procedure

### Procedure to Form a New Branch

- Petitioners of a new Branch should explain, in writing, how the Branch will enhance Society objectives
- A petition, with a minimum of 15 signatures, of Society members residing in the area should be submitted to the Section and Region Board of Directors for approval.
- A proposed Branch area should contain a minimum of 30 potential members
- A proposed Branch should have distinct boundaries by zip codes stated in the petition or other distinguishable boundaries where zip codes are not customary

### Summary

The main guidelines for the formation of Sections and Branches recommended by the Member Communities Committee

- Additional Sections should not be formed, unless under extraordinary circumstances
- A number of Sections within a state area should be urged to consolidate and form one Section with local Branches
- Branches should be formed wherever it is in the best interests of the Society





## **SAMPLE SECTION CONSTITUTION AND BYLAWS (11/26/13 version)**

### **NOTE:**

- (1) *Must not alter Articles 1 and 10.*
- (2) *Numbering of Articles should not be changed, as it mirrors the numbering in the Society governing documents. For guidance and examples on adding content to the various articles, refer to the Society governing documents.*
- (3) *In addition to the Section Constitution and Bylaws, a Section (or a Branch) could have Rules of Policy and Procedure, which would spell out operational details for the organization.*
- (4) *The embedded notes should be removed once the relevant issues are addressed.*

## **\_\_\_\_\_ SECTION CONSTITUTION**

### **Article 1: General**

**1.0 Name.** The name of this organization shall be the \_\_\_\_\_ Section, American Society of Civil Engineers ("ASCE") (hereinafter referred to as the "Section").

**1.1 Objective.** The objective of the Section shall be the advancement of the science and profession of engineering, in a manner consistent with the purpose of the American Society of Civil Engineers (hereinafter referred to as the "Society").

### **Article 2: Area and Membership**

**2.0 Area.** The area of the Section shall be (insert governmental boundaries such as counties or cities).

**2.1 Assigned Members.** All members of the Society, of all grades, whose addresses of record are within the boundaries of the Section, as defined by the Society, shall be Assigned Members of the Section.

**2.2 Subscribing Members.** All members of the Society, of all grades, who subscribe to the Constitution and Bylaws of the Section, who have paid the current dues of the Section or who are exempt by Article 4, shall be Subscribing Members of the Section in good standing.

**2.2.1 Rights of Subscribing Members.** With the exception of Student and Affiliate Members, Subscribing Members in good standing who meet the requirements of the Society's governing documents shall be eligible to vote in Section elections, to hold Section office, to serve on Section committees, or to represent the Section officially.

**2.2.2 Termination of Rights for Non-payment of Dues.** Subscribing membership ceases for any member whose dues are more than \_\_\_\_ (X) months in arrears.

**2.3 Institute-only Members.** Institute-only Members of a Society Institute may be members of a Section or Branch Technical Group or local Institute Chapter.

### **Article 3: Separation from Membership**

**3.0 Separation from Membership.** Upon termination of membership in the Society, a person shall cease to be a member of the Section.

### **Article 4: Dues**

**4.0 Annual Dues.** Annual Dues shall be established by the Section Board of Directors (hereinafter the "Board") as set forth in the Section Bylaws.

**4.1 Exemption from Dues.** Society Life Members and Distinguished Members shall be exempt from payment of dues to the Section.

*\*NOTE: Life and Distinguished Members are exempt from national Society dues. The Section can choose whether to exempt them from Section dues.*

**4.2 Good Standing.** A Section member whose obligation to pay is current shall be a Section Member in good standing.

### **Article 5: Management**

**5.0 Board of Directors.** The governing body of the Section shall be a Board of Directors. The Board shall be responsible for the supervision, control and direction of the Section, and shall manage the affairs of the Section in accordance with the provisions of the Section and Society governing documents.

### **Article 6: Officers and Directors**

**6.0 Officers.** Officers of the Section shall be a President, a President-Elect, a Vice President, a Secretary, and a Treasurer.

*\*NOTE: The Officers are a subset of the Board, and may constitute an Executive Committee to manage certain activities of the Board.*

**6.1 Directors.** There shall be \_\_\_\_ (X) elected Directors and \_\_\_\_ (X) appointed Directors. At least one (1) of the elected Directors shall be a Younger Member.

*\*NOTE: Officers may also serve as Directors.*

**6.2 Board of Directors.** The Board of Directors shall consist of the Officers, the elected and appointed Directors, the immediate Section Past President available and willing to serve, and the President or Chairman of each Subsidiary Organization.

*\*NOTE: Details regarding election, succession and other procedures to be covered in the Bylaws.*

## **Article 7: Elections**

**7.0 Elections.** The Section shall establish procedures for the annual election of Officers and Directors.

## **Article 8: Meetings**

### **8.0 Membership Meetings.**

**8.0.1 Annual Meeting.** The Section shall hold at least one (1) business meeting annually, termed the Annual Meeting, on a date fixed in accordance with the Bylaws.

**8.0.2 Other Meetings.** Other meetings shall be called at the discretion of the Board, or by the President upon the written request of at least ten (10) Subscribing Members.

**8.0.3 Meeting Notice.** Notice of call for a meeting shall be sent to all Subscribing Members not less than \_\_\_\_ (X) days in advance of the meeting date.

### **8.1 Board of Directors Meetings.**

**8.1.1 Meeting Frequency.** The Board shall hold at least \_\_\_\_ (X) meetings annually.

**8.1.2 Meeting Notice.** Notice of call for a meeting shall be sent to the members of the Board not less than \_\_\_\_ (X) days in advance of the meeting date.

## **Article 9: Subsidiary Organizations and Committees**

**9.0 Subsidiary Organizations.** Subsidiary Organizations may be formed within the Section to facilitate the carrying out of the objectives of the Section, to promote interest in the Society and to provide to members of the Section a better opportunity for participation in local Society activities, in accordance with the provisions of the Bylaws.

**9.0.1 Governing Documents.** Subsidiary Organizations shall adopt Bylaws consistent with this Constitution and Society governing documents.

**9.1 Committees.** The Section may establish standing or task committees to carry out the work of the Section.

## **Article 10: Administrative Provisions**

**10.0 Proper Use of Section Resources.** No part of the net earnings of the Section shall inure to the benefit of, or be distributable to its Directors, Officers, or any other private

persons, except that the Section shall be authorized and empowered to pay reasonable reimbursements, payments or compensation for services rendered in furtherance of the purposes set forth above.

**10.1 Limitations on Political Activity.** No substantial part of the activities of the Section shall be the carrying on of propaganda, or otherwise attempting to influence legislation, and the Section shall not participate in or intervene in, including the publishing or distribution of statements, any political campaign on behalf of or in opposition to any candidate for public office. The Section shall not carry on any activities prohibited by the provisions of the Society's governing documents.

**10.2 Conflict of Interest.** A Conflict of Interest shall be defined as any activity, transaction, relationship, service, or consideration which is, or appears to be, contrary to the best interest of the Section or the Society, or in which the interests of an individual or another organization has the potential to be placed above those of the Section or the Society. Any interested individual must disclose the existence of any actual or possible conflict of interest and all material facts to the Section entity considering the proposed transaction. Action to address the conflict shall be taken by either the interested individual or the Section entity.

**10.3 Distribution of Section Assets.** Upon dissolution of the Section, the assets remaining after the payment of the debts of the Section shall be distributed to such organization or organizations organized and operated exclusively for charitable, educational, literary, religious, or scientific purposes, as shall at the time qualify as an exempt organization or organizations under Section 501(c)(3) of the Internal Revenue Code, as the Board shall determine, and in the absence of such designation they shall be conveyed to the Society.

## **Article 11: Amendments**

### **11.0 Amendment of the Constitution.**

**11.0.1 Proposal.** An amendment to this Constitution may be proposed by one (1) of the following two (2) methods:

**11.0.1.1 Section Board of Directors.** A two-thirds (2/3) vote of the members of the Section Board present at a duly constituted Board meeting where a quorum is in attendance, provided that a written notice containing the text of the proposed amendment is published to the membership at least thirty (30) days in advance of the meeting.

**11.0.1.2 Written Petition.** A Written Petition submitted to the Section Secretary containing the text of the amendment, signed by not less than \_\_\_\_ (X) percent of the Subscribing Members of the Section.

*\*NOTE: The number of Subscribing Members signing the petition should reflect a reasonable percentage of Section Subscribing Members.*

**11.0.2 Society Approval.** The proposed amendment shall be reviewed and approved by the appropriate Society Committee(s) before being voted upon by the Subscribing Members.

**11.0.2.1 Boundary Changes.** If the proposed amendment involves a change in the Section boundaries, this change shall be approved by the Geographic Region Board of Governors prior to any consideration of the Constitution amendment.

**11.0.3 Section Approval.** The proposed amendment shall be distributed to the Subscribing Members of the Section who shall be given the opportunity to vote. To become effective, the proposed amendment shall receive an affirmative vote of not less than two-thirds (2/3) of the Subscribing Members voting.

## SECTION BYLAWS

### Article 1: General

**1.0 Use of Name and Marks.** The use and publication of the Society and Section name and marks shall be in accordance with the Society's governing documents and official policies.

### Article 2: Area and Membership

**2.0 Grades of Membership.** The Subscribing Membership grades shall consist of the Society-level membership grades of Student Member, Affiliate Member, Associate Member, Member, Fellow, and Distinguished Member. The qualifications for Society-level membership grades shall be as set forth by the Society. The voting membership grades of the Section shall be Associate Member, Member, Fellow, and Distinguished Member. The non-voting membership grades of the Section shall be Student Member and Affiliate Member.

*(If the Section has its own membership grades they should be included here.)*

### Article 3: Separation from Membership

Not used.

### Article 4: Dues

**4.0 Annual Dues.** The Annual Dues for members of the Section shall be established by two-thirds (2/3) vote of the Board of Directors (hereinafter "the Board"), payable in U.S. currency in advance of October 1st.\*

*\*NOTE: Insert January 1st if dues collected by the Society.*

**4.0.1 Good Standing.** A Section member whose obligation to pay is current shall be a Section Member in good standing.

**4.0.2 Delinquency.** A Section member who is not in good standing may forfeit rights and privileges of Section membership as determined by the Board.

**4.0.3 Notice of Non-Payment.** Three (3) months after the start of the calendar year, the Section shall notify each Subscribing Member who has not yet paid dues for the current year that unless payment is made within thirty (30) days, subscribing membership in the Section shall cease and his/her name shall be removed from the list of Subscribing Members of the Section.

**4.1 Dues Abatement.** The Executive Committee may excuse any Section member from the payment of Annual Dues with reasonable cause.

## Article 5: Management

**5.0 Duties of the Board of Directors.** Duties of the Section Board of Directors (hereinafter the "Board") shall include management of the Section, responsibility for the budget and financial resources, strategic planning, providing leadership, overseeing the various activities within the Section and its Subsidiary Organizations, communicating with the Region, and facilitating the election process for Officers and Directors of the Section and its Subsidiary Organizations. The Board shall have control of property of the Section.

**5.1 Annual Report.** The Board shall oversee the preparation of the Annual Report which shall be submitted to the Society in accordance with published requirements.

## Article 6: Officers and Directors

**6.0 Qualifications.** Officers, Directors and Delegates shall be Subscribing Members of the Section in a voting grade of Society membership who have demonstrated interest and ability regarding Section affairs, have declared a willingness to serve, and have made a commitment to the time required.

**6.1 Officers.** The Officers of the Section shall be elected by the Subscribing Members, with the exception of the President and immediate Past President. The President-Elect shall automatically succeed to the office of President at the close of the Annual Meeting.

*\*NOTE: Section should also define appointment process.*

**6.1.1 President.** The President shall have general supervision of the affairs of the Section and shall delegate duties to Section Officers. The President shall preside at meetings of the Section at which the President may be present.

**6.1.1.1 Term.** The President shall serve a one (1) year term. The President shall assume the office immediately following the conclusion of a term as President-Elect. After serving one (1) full term, the President shall be ineligible to serve in the same office.

**6.1.1.2 Vacancies.** Vacancies in the office of President shall be filled for the unexpired portion of the term by a qualified member of the Board as determined by the Board at the time of the vacancy.

**6.1.1.3 Compensation.** The President does not receive compensation for services but may be reimbursed for expenses.

**6.1.2 President-elect.** The President-Elect shall preside at meetings in the absence of the President and shall assume duties as delegated by the President.

**6.1.2.1 Term.** The President-elect shall serve a one (1) year term. After serving one (1) full term, the President-Elect shall be ineligible for re-election to the same office. The term of office of the President-Elect shall begin upon

installation, normally at the Annual Meeting, and shall continue until a successor is installed.

**6.1.2.2 Vacancies.** Vacancies in the office of President-Elect shall be filled for the unexpired portion of the term by a qualified member of the Board as determined by the Board at the time of the vacancy.

**6.1.2.3 Compensation.** The President-Elect does not receive compensation for services but may be reimbursed for expenses.

**6.1.3 Vice President.** The Vice President shall attend meetings of the Board and assume all other duties as delegated.

**6.1.3.1 Term.** The Vice President shall serve a one (1) year term. After serving one (1) full term, the Vice President shall be ineligible for re-election to the same office. The term of office of the Vice President shall begin upon installation, normally at the Annual Meeting, and shall continue until a successor is installed.

**6.1.3.2 Vacancies.** Vacancies in the office of Vice President shall be filled for the unexpired portion of the term by a qualified member of the Board as determined by the Board at the time of the vacancy.

**6.1.3.3 Compensation.** The Vice President does not receive compensation for services but may be reimbursed for expenses.

**6.1.4 Secretary.** The Secretary shall keep the records of meetings of the Section and shall submit the Annual Report of the Section. The Secretary shall also assume other duties as delegated by the President.

**6.1.4.1 Term.** The Secretary shall serve a one (1) year term. The Secretary is eligible for re-election and shall not serve more than two (2) successive elected terms in the same office. The term of office of the Secretary shall begin upon installation, normally at the Annual Meeting, and shall continue until a successor is installed.

**6.1.4.2 Vacancies.** Vacancies in the office of Secretary shall be filled for the unexpired portion of the term by a qualified member of the Board as determined by the Board at the time of the vacancy.

**6.1.4.3 Compensation.** The Secretary does not receive compensation for services but may be reimbursed for expenses.

**6.1.5 Treasurer.** The Treasurer shall attend meetings of the Board and Executive Committee. The Treasurer shall be responsible for the maintenance and disbursement of all funds. The Treasurer shall prepare monthly reports on the financial condition of the Section and shall maintain the membership roster, authenticating all paid dues with the Society. The Treasurer shall assist in



preparation of the Section's annual budget and be responsible for submission of the Section's annual tax return.

**6.1.5.1 Term.** The Treasurer shall serve a one (1) year term. The Treasurer is eligible for re-election and shall not serve more than two (2) successive elected terms in the same office. The term of office of the Treasurer shall begin upon installation, normally at the Annual Meeting, and shall continue until a successor is installed.

**6.1.5.2 Vacancies.** Vacancies in the office of Treasurer shall be filled for the unexpired portion of the term by a qualified member of the Board as determined by the Board at the time of the vacancy.

**6.1.5.3 Compensation.** The Treasurer does not receive compensation for services but may be reimbursed for expenses.

**6.1.6 Past President.** The Past President shall attend meetings of the Section Board and serve as the Chair of the Nominating Committee and shall assume other duties as delegated by the President.

**6.1.6.1 Term.** The Past President shall serve a one (1) year term immediately following the conclusion of a term as President and shall continue until a successor is installed.

**6.1.6.2 Vacancies.** Vacancies in the office of Past President shall be filled for the unexpired portion of the term by the most recent Past President available and willing to serve.

**6.1.6.3 Compensation.** The Past President does not receive compensation for services but may be reimbursed for expenses.

## **Article 7: Elections**

### **Nomination Process, Candidate Pool?**

**7.0 Ballots.** The Secretary shall send a ballot containing the list of all nominees, petition nominees, and a space for a write-in vote for another candidate for each office, to each Subscribing Member of the Section at least twenty (20) days prior to the Annual Meeting.

**7.0.1 Tallying the Ballots.** Ballots returned to the Secretary up to the time of counting shall be opened and counted at, or immediately prior to, the Annual Meeting by three (3) tellers appointed by the President. For each office the nominee receiving the highest number of votes cast shall be declared elected.

## **Article 8: Meetings**

### **8.0 Membership Meetings.**

**8.0.1 Frequency of Other Meetings.** In addition to the Annual Meeting, at least \_\_\_\_ (X) meetings shall be held each year at regular intervals.

**8.0.2 Quorum at Section Meeting.** \_\_\_\_\_ (XX) Subscribing Members shall constitute a quorum for transacting business at a meeting of the Section.

**8.1 Quorum at Board of Directors Meeting.** A majority of the members of the Board shall constitute a quorum at any meeting of the Board.

**8.2 Parliamentary Authority.** All business meetings of the Section, Subsidiary Organizations, and meetings of the Board shall be governed by *Robert's Rules of Order, Newly Revised*, except where these rules are not applicable or are inconsistent with the Constitution and Bylaws of the Section or the Society's governing documents.

## **Article 9: Subsidiary Organizations and Committees**

### **9.0 Subsidiary Organizations.**

**9.0.1 Types of Subsidiary Organizations.** Subsidiary Organizations may be, but are not limited to, Branches, Younger Member Forums/Groups, Technical Groups, and local Institute Chapters. Names of Subsidiary Organizations shall be as set forth in the Society's governing documents.

**9.0.2 Formation.** Formation of Subsidiary Organizations shall be subject to the approval of the Section Board and such other requirements as may be established by the Society. Formation of Branches shall also be subject to the approval of the Region Board of Governors. Bylaws of Subsidiary Organizations shall be approved by the Section Board before becoming effective.

**9.0.3 Branches.** Branches of the Section may be created. Procedures for creating a Branch shall be as follows:

**9.0.3.1 Proposal.** A new Branch may be proposed by submission of a written proposal to the Section Board with the name, objective, officers, and brief comments on how the new Branch will be of advantage to members in the area.

**9.0.3.2 Petition.** The written proposal, along with a petition containing a minimum of fifteen (15) signatures of Subscribing Members residing in the area shall be submitted to the Section Board for approval.

**9.0.3.3 Membership.** A proposed Branch area shall contain a minimum potential of thirty (30) members of the Society.

**9.0.3.4 Boundaries.** A proposed Branch must have distinct boundaries by Zip Codes stated in the petition.

**9.0.3.5 Region Approval.** Upon approval of the Section Board, the

proposal and petition shall be submitted to the Region Board of Governors for review and final approval.

**9.0.4 Technical Groups.** Technical Groups or local Institute Chapters shall be created in accordance with the following requirements:

**9.0.4.1 Proposal.** A new Technical Group or local Institute Chapter shall be proposed by submission of a written proposal to the Section Board with the name, objectives, officers, and brief comments on how the new Technical Group or local Institute Chapter will be of advantage to members in the area.

**9.0.4.2 Membership.** Not less than \_\_\_\_ (XX) Subscribing Members of the Section may form a Technical Group or Institute Chapter.

**9.0.4.3 Approval.** Approval must be obtained from the Section Board to activate the Technical Group or Institute Chapter. Approval shall be obtained from the appropriate Institute to activate the Institute Chapter.

**9.0.5 Other Subsidiary Organizations.** Other Subsidiary Organizations may be formed by the Section Board.

**9.0.6 Annual Budget.** Each Subsidiary Organization shall submit an annual budget and financial statement to the Section Board for approval.

**9.0.7 Annual Report.** Each Subsidiary Organization President or Chair shall submit an annual written report to the Section Board on the activities and programs of the organization. This Annual Report, including a financial statement, shall be suitable for incorporation into the Section's Annual Report.

**9.0.8 Level of Activity.** Each Subsidiary Organization shall hold a minimum of \_\_\_\_ (X) events per year. Any Subsidiary Organization that does not maintain the minimum activity level for two (2) successive years, or does not have \_\_\_\_ (XX) Subscribing Members on its rolls for two (2) successive years, may be disbanded by the Board. Assets of a disbanded Subsidiary Organization shall be assumed by the Section.

**9.1 Standing Committees.** The Section shall have a Nominating Committee.

*\*NOTE: You may include a list of additional Standing Committees such as Audit, Finance, Program, Membership, Public Relations, Government Affairs, Continuing Education, Student Activities, Educational Outreach, History and Heritage, Technical Activities, etc.*

*\*NOTE: Name only those committees that will be operating on a regular basis. The Board may establish Task Committees when special needs arise, as stipulated below.*

**9.1.1 Nominating Committee.** The Nominating Committee shall consist of not less than three (3) members including the three (3) most recent active Past-Presidents of the Section who are available and willing to serve, plus other duly selected

members, appointed by the Section Board. The Section President shall determine the Committee Chair.

**9.1.2 \_\_\_\_\_ Committee.** The \_\_\_\_\_ Committee shall consist of \_\_\_\_\_.

*\*NOTE: Define the membership and function of each standing Committee, with a new paragraph for each Committee.*

**9.1.3 Terms of Standing Committee Members.** Unless otherwise specified, the members of committees shall be appointed by the Board upon recommendation of the Section President for a one (1) year term. The term shall commence at the beginning of the Section President's term.

**9.2 Task Committees.** The President may appoint task committees as deemed necessary. The terms of Task Committee members shall end at the conclusion of the term of the President.

**Article 10: Administrative Provisions**  
Not used.

## **Article 11: Amendments**

**11.0 Process.** These Bylaws may be amended only by the following procedure:

**11.0.1 Proposal.** An amendment to these Bylaws may be proposed by any member of the Board, or by a written petition submitted to the Section Secretary, containing the text of the amendment, signed by not less than ten (10) Subscribing Members of the Section.

**11.0.2 Approval.** The proposed Bylaws amendment(s) shall be approved by not less than a majority of the Board and submitted to the appropriate Society Committee(s) for review and approval.

**11.0.3 Notice and Adoption.** Upon approval by the appropriate Society Committee(s), the proposed Bylaws amendment(s) may be adopted by a two-thirds (2/3) vote of the Section Board present at a duly constituted Board meeting, where a quorum is in attendance, provided that a written notice containing the text of the proposed amendment(s) is published to the Section membership at least thirty (30) days in advance of the meeting.

*\*NOTE: The proposed amendment is first approved by the Board for submission to the Society, and is then adopted by the Board after Society review and membership notice is completed.*

*\*NOTE: Amendment of the Bylaws should be less stringent than amendment of the Constitution.*





## Branch (or Subsidiary Organization) SAMPLE BYLAWS

### NOTE:

- (1) *A Branch Constitution is not required since the Section Constitution governs.*
- (2) *For a subsidiary organization, substitute the name of the organization in place of “\_\_\_\_\_Branch” throughout, as appropriate, and modify or delete any inappropriate sections.*
- (3) *Articles 1 and 10 must not be altered.*
- (4) *Numbering of Articles should not be changed.*

## \_\_\_\_\_ BRANCH BYLAWS

### Article 1: General

**1.0 Name.** The name of this organization shall be the \_\_\_\_\_ Branch, of the \_\_\_\_\_ Section, American Society of Civil Engineers (ASCE) (hereinafter referred to as the “Branch”).

**1.1 Objective.** The objective of the Branch shall be the advancement of the science and profession of engineering in a manner consistent with the purpose of the American Society of Civil Engineers. (hereinafter referred to as the “Society”).

**1.2 Authority.** The actions of the Branch shall be consistent with the provisions as set forth in the Constitution and Bylaws of the \_\_\_\_\_ Section.

### Article 2: Area and Membership

**2.0 Area.** The area of the Branch shall be (insert governmental boundaries).

**2.1 Assigned Members.** All members of the Society of all grades, whose addresses of record are within the boundaries of the Branch, as defined by the Society, shall be Assigned Members of the Branch.

**2.2 Subscribing Members.** All members of the Society of all grades, who subscribe to the Bylaws of the Branch, and who have paid the current dues of the Branch, shall be

Subscribing Members of the Branch.

**2.2.1 Rights of Subscribing Members.** Only Subscribing Members of the Branch shall be eligible for election to Branch office, or to vote in Branch elections.

### **Article 3: Separation from Membership**

**3.0 Separation from Membership.** Members who cease to be members of the \_\_\_\_\_ Section, for any reason, shall cease to be members of the Branch.

### **Article 4: Dues**

**4.0 Annual Dues.** The Annual Dues for members of the Branch shall be \_\_\_\_\_ (\$XX) dollars payable in U.S currency by \_\_\_\_\_.

*\*NOTE: If the dues are collected by the Society, insert Jan 1. If the dues are collected by the Section, use the same date indicated in the Section Bylaws.*

### **Article 5: Management**

**5.0 Board of Directors.** The governing body of the Branch shall be a Board of Directors (hereinafter “the Board”). The Board shall be responsible for the supervision, control and direction of the Branch, and shall manage the affairs of the Branch in accordance with the provisions of the Branch governing documents, subject to the control of the Section.

***You should list all the Subsidiary Organizations that hold a seat on the Board of Directors so anyone looking knows exactly how many people comprise the Board and who they represent.***

**5.1 Budget.** The Branch activities shall be based on a budget proposed by the Board and approved by the \_\_\_\_ Section Board.

**5.2 Duties of the Board of Directors.** Duties of the Board shall include management of the Branch, overseeing the various activities within the Branch, and communicating with the Section.

**5.3 Duties of the Officers.** The duties of Officers shall be those usual for such Officers.

**5.4 Annual Report.** The Board shall oversee the preparation of the Branch Annual Report, which shall be submitted to the \_\_\_\_ Section in accordance with published requirements.

## **Article 6: Officers and Directors**

**6.0 Officers.** The Officers of the Branch shall be a President, a President-Elect, a Vice President, a Secretary and a Treasurer.

**6.1 Board of Directors.** The Board of Directors shall consist of the Officers, the immediate Past President available and willing to serve, and the Chairs of Standing Branch committees and Subsidiary Organizations.

*\* NOTE: If these Bylaws are for a Subsidiary Organization, the organization would likely have a Chair in lieu of a President. If the Branch has Directors, they should also be members of the Board.*

**6.2 Terms.** All Officers, except the President, shall be elected for terms of one (1) year, which shall begin at the close of the Section Annual Meeting and continue until their successors are elected and assume the offices.

**6.2.1 Term of the President.** The term of office for the President shall be one (1) year. The President-elect shall succeed to the office of President at the close of the Section Annual Meeting.

**6.3 Vacancies.** A vacancy in the office of President shall be filled by the President-elect. A vacancy in the office of President-elect shall be filled by the Vice President. Other vacancies shall be filled for the unexpired term by appointment by the Branch Board.

## **Article 7: Elections**

**7.0 Nominating Committee.** The Nominating Committee shall choose one (1) or more Candidates for election to each office, except the office of President, and obtain the consent of each Candidate to serve if elected. In addition, Candidates may be nominated by written petition containing \_\_\_\_\_(XX) signatures of Subscribing Members. The Nominating Committee shall set the date by which nominations must be received.

**7.1 Ballots.** The Secretary shall send a ballot, containing a list of all Nominees, Petition Nominees, and a space for a write-in vote for another Nominee for each office, to each Subscribing Member of the Branch at least twenty (20) days prior to the Section Annual Meeting.

**7.2 Tallying the Ballots.** Ballots returned to the Secretary up to the time of counting shall be opened and counted at the Annual Meeting by three (3) tellers appointed by the President. For each office the Nominee receiving the highest number of votes cast shall be declared elected.

*\*NOTE: If Branch balloting is done in conjunction with the Section ballots, the wording in paragraphs 7.2 and 7.3 will need to be amended to specify who collects and counts*



*the ballots, i.e., Section Secretary and President vs. the Branch Secretary and President. For other Subsidiary Organizations, the timing and process of balloting may differ.*

## **Article 8: Meetings**

### **8.0 Membership Meetings.**

**8.0.1 Annual Meeting.** The Annual Meeting shall be held on such date and at such place as the Board designates.

*\*NOTE: If the Branch holds an annual meeting, references to Section Annual Meetings in previous Articles may need to be changed. If not, this Section may be deleted, and the next paragraphs modified.*

**8.0.2 Other Meetings.** Other meetings shall be called at the discretion of the Board, or by the President upon written request of at least ten (10) Subscribing Members.

**8.0.3 Frequency of Other Meetings.** In addition to the Annual Meeting, other meetings shall be held each year at regular intervals.

**8.0.4 Meeting Notice.** Notice of call for a Branch meeting shall be sent to all Subscribing Members of the Branch not less than \_\_\_\_ (XX) days in advance of the meeting.

**8.0.5 Quorum at Branch Meetings.** At all meetings where business is transacted \_\_ (XX) Subscribing Members shall constitute a quorum.

### **8.1 Board of Directors Meetings.**

**8.1.1 Quorum.** A majority of the members of the Board shall constitute a quorum at any meeting of the Board.

**8.2 Parliamentary Authority.** All business meetings of the Branch and Subsidiary Organizations and meetings of the Board shall be governed by *Robert's Rules of Order, Newly Revised*, except where these rules are not applicable or are inconsistent with the Bylaws of the Branch, \_\_\_\_ Section Constitution and Bylaws, or the Society's governing documents.

## **Article 9: Subsidiary Organizations and Committees**

**9.0 Subsidiary Organizations.** Subsidiary Organizations may be formed within the Branch, consistent with the purposes of the Section and Branch, and in accordance with the provisions of these Bylaws. Subsidiary Organizations may be, but are not limited to, Younger Member Forums/Groups, Technical Groups, and local Institute Chapters.

Names of Subsidiary Organizations shall be as set forth in the Society's governing documents.

**9.0.1 Formation.** Formation of Subsidiary Organizations shall be subject to the approval of the Branch Board, the \_\_\_Section Board, and such other requirements as may be established by the Society. Bylaws of Subsidiary Organizations shall be approved by the Branch and \_\_\_Section Boards before becoming effective.

**9.0.2 Process for Formation.** Subsidiary Organizations of the Branch may be created. Procedures for creating a Subsidiary Organization shall be as follows:

**9.0.2.1** A Subsidiary Organization shall be proposed by submission of a written proposal to the Branch Board with the name, objectives, officers, and brief comments on how the Subsidiary Organization will be of advantage to members in the Branch. Those proposing an Institute Chapter shall also contact the appropriate Society Institute and comply with the Institute rules for creating a Chapter.

**9.0.2.2** Following approval of the Branch Board, the proposal shall be forwarded to the \_\_\_Section Board for their review and approval.

**9.0.2.3** Following the approval of the \_\_\_Section Board, those proposing a Subsidiary Organization shall prepare and submit Bylaws to the Branch Board for the operation of the organization.

**9.0.2.4** Approval of the Subsidiary Organization Bylaws by the Branch and \_\_\_Section Board shall be obtained to activate the Subsidiary Group. Approval must also be obtained from the appropriate Institute to activate an Institute Chapter.

**9.0.3 Budget.** Each Subsidiary Organization shall submit an annual budget and financial statement to the Branch Board for approval.

**9.0.4 Annual Report.** Each Subsidiary Organization President or Chair shall submit an annual written report to the Branch Board on the activities and programs of the organization. This Annual Report, including a financial statement, shall be suitable for incorporation into the Branch's Annual Report to the \_\_\_Section.

**9.0.5 Level of Activity.** Each Subsidiary Organization shall hold a minimum of \_\_\_ (XX) events per year. Any Subsidiary Organization that does not maintain the minimum activity level for two (2) successive years, or does not have Subscribing Members on its rolls for two (2) successive years, may be disbanded by the Section. Assets of a disbanded Subsidiary Organization shall be assumed by the Branch.

## **9.1 Committees.**

**9.1.1 Standing Committees.** The Branch shall have a Nominating Committee.

*\*NOTE: You may include a list of additional Standing Committees such as Audit, Finance, Program, Membership, Public Relations, Government Affairs, Continuing Education, Student Activities, Educational Outreach, History and Heritage, Technical Activities, etc.*

**9.1.1.1 Nominating Committee.** The Nominating Committee shall consist of not less than three (3) members, including the three (3) most immediate Past Presidents of the Branch who are available and willing to serve, appointed by the Board.

**9.1.1.2 \_\_\_\_\_ Committee.** The \_\_\_\_\_ Committee shall consist of \_\_\_\_\_

*\*NOTE: define the membership and function of each standing Committee, with a new paragraph for each Committee.*

**9.1.1.3 Terms of Standing Committee Members.** Unless otherwise specified, the members of committees shall be approved by the Board upon recommendation of the Branch President, for a one (1) year term. The term shall commence at the beginning of the Branch President's term.

**9.1.2 Task Committees.** The Branch President may appoint task committees as deemed necessary. The terms of Task Committee members shall end at the end of the term of office of the Branch President.

## **Article 10: Administrative Provisions**

**10.0 Proper Use of Branch Resources.** No part of the net earnings of the Branch shall inure to the benefit of, or be distributable to its Directors, Officers, or any other private persons, except that the Branch shall be authorized and empowered to pay reasonable reimbursements, payments or compensation for services rendered in furtherance of the purposes set forth above.

**10.1 Limitations on Political Activity.** No substantial part of the activities of the Branch shall be carrying on propaganda or otherwise attempting to influence legislation, and the Branch shall not participate in, or intervene in (including the publishing or distributing of statements), any political campaign on behalf of or in opposition to any candidate for public office. The Branch shall not carry on any activities prohibited by the provisions of the Society's governing documents.

**10.2 Conflict of Interest.** A Conflict of Interest shall be defined as any activity, transaction, relationship, service, or consideration which is, or appears to be, contrary to

the best interest of the Branch, Section, or the Society, or in which the interests of an individual or another organization has the potential to be placed above those of the Branch, Section or the Society. Any interested individual must disclose the existence of any actual or possible conflict of interest and all material facts to the Branch entity considering the proposed transaction. Action to address the conflict shall be taken by either the interested individual or the Branch entity.

**10.3 Distribution of Branch Assets.** Upon dissolution of the Branch, the assets remaining after the payment of the debts of the Section shall be distributed to such organization or organizations organized and operated exclusively for charitable, educational, literary, religious, or scientific purposes, as shall at the time qualify as an exempt organization or organizations under Section 501(c)(3) of the Internal Revenue Code, as the Board shall determine, and in the absence of such designation they shall be conveyed to the Society.

## **Article 11: Amendments**

**11.0 Process.** These Bylaws may be amended only by the following procedure:

**11.0.1 Proposal.** An amendment to these Bylaws may be proposed by any member of the Board, or by a written petition submitted to the Branch Secretary, containing the text of the amendment, signed by not less than ten (10) Subscribing Members of the Branch.

**11.0.2 Approval.** The proposed Bylaws amendment(s) shall be approved by not less than a majority of the Branch Board and submitted to the \_\_\_Section Board for review and approval.

**11.0.3 Notice of Adoption.** Upon approval by the \_\_\_Section Board, the proposed Bylaws amendment(s) may be adopted by a two-thirds (2/3) vote of the Branch Board present at a duly constituted Board meeting, where a quorum is in attendance, provided that a written notice containing the text of the proposed amendment(s) is published to the Branch membership at least thirty (30) days in advance of the meeting.

*\*NOTE: The proposed amendment is first approved by the Branch Board for submission to the Section, and is then adopted by the Branch Board after Section approval and notice to the Branch membership.*

## APPENDIX 3

### PROTOCOL PROCEDURES FOR SOCIETY LEADERSHIP VISITS

The following are some recommended considerations for planning and preparing for a visit by Society Leadership. This includes visits from Society Officers or Region Directors and Governors.

#### Planning

Establish objectives for the visit.

- Define purpose and goal in very specific terms.
- What will constitute a successful visit?
- How will the visit supplement or complement your total program?
- Will the visit include contact with Student Chapters, community leaders, engineering management people, other professionals, interviews with local radio, TV and news media, etc.

Lay out a detailed itinerary and timetable.

- Detail a stop-by-stop and hour-by-hour listing of planned events; don't overlook even the smallest detail.
- Assume something will go wrong and plan for alternatives.
- What do you want the Society Leader to present and discuss?  
Provide some flexibility in the timetable for personal time (sightseeing, shopping, etc.)

Develop and organize the invitation.

- Plan for the visit at least 6 months in advance.
- Prepare an invitation letter that will be sent to ASCE.
- Detail why the invitation is extended and what is expected of the visiting leader.
- Contact the ASCE Headquarters office for Presidential officers; this office coordinates the schedule of all Society officers.
- Once accepted and scheduled, maintain regular contact with the office and the particular officer to confirm and adjust plans.
- Will you accept a substitute in the event of a schedule conflict?

#### Organization

Check out all plans.

- Assign responsibility for every detail of visit.
- Assign a member to pick up the Society Leader at the airport; or meet them at a specific location.
- Coordinate hotel reservations and ground transportation with HQ staff when making the invitation.
- Find out if the Society Leader plans to bring a guest or spouse.
- Contact the Society Leader at one month in advance and again one week before the visit to finalize plans.

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Review all aspects of the actual visit.

- Will the Society Leader receive value from the visit?
- Is your timetable too tight?
- How will news media get in touch with the visiting leader?
- Should you have a dry run? Discuss this with your local board to ensure all are aware of the details and their responsibilities.
- How will you handle weather conflicts such as snow, storms or other natural occasions?
- Is the Officer to be seated at a head table?
- Have you obtained background information or a biographical sketch on the visiting leader to ensure a proper introduction? (bios are available from ASCE HQ for Presidential officers and from the Region for Directors or Governors)

### **Follow Up**

Review your experiences.

- What can you improve for the next visit?
- Thank the officer for his/her time and consideration in visiting your group.
- If your local section or branch provides token gifts to speakers, you should offer this to the visiting leader.
- How do you follow up with the local contacts to take full advantage of visit?
- Who should ask the Society Leader for objective feedback about the visit?
- When should you plan for another visit?
- Did you get your money's worth?

These procedures are not intended to cover each circumstance or situation you may encounter. They highlight some items and parameters you should consider as part of the approach to a successful visit by a Society Leader.

## APPENDIX 4

### MAINTAINING MEMBERSHIP RECORDS

Section and Branch maintenance of an accurate and up to date roster of all members of the Section is a key to successful member service.

The Society's Bylaws identifies and describes membership as follows: ***Membership:*** *No one may be a member of a Section or Branch unless already a member of the Society. Society members who request mailing address changes to APO numbers or who request other temporary changes in mailing address shall remain assigned to the respective Sections of their individual Addresses of Record unless and until specific requests are made by them for changes in their Addresses of Record.*

Geographic Services provides access to an FTP (File Transfer Protocol) server which contains a restricted access site that allows Sections and Branches to download their membership data. The membership database is updated every weeknight (except holidays) from ASCE's main membership database, insuring that the data downloaded contains the most recent information regarding your members. Each Section or Branch is permitted one subscription to this area of the server.

#### **Data Furnished**

The list below is just a sampling of the information provided within the FTP Membership databases for each member in the Section and/or Branch:

1. Member name, mailing address and email address
2. Member identification number
3. Member grade
4. Section and Branch code
5. Member Election, Birth, Degree and Life Membership Dates
6. National Dues Payment date
7. Section Dues Payment date
8. Institute Affiliation
9. Member Credentials

Questions concerning the FTP membership databases should be directed to Dan Wilson, Market Research Analyst, at (703) 295-6121 or [dwilson@asce.org](mailto:dwilson@asce.org). Members may also contact Dan at (800)548-2723 ext. 6121.

## **Appendix 5**

### **FORMATION AND OPERATION OF SECTION AND BRANCH COMMITTEES**

Committees are important elements of Sections and Branches. Established by local authority, each committee consists of a group of members headed by a chairperson, operating under either the general or specific direction of the officers. They study, act and report on matters of Section and Branch policy and procedure and work on Section functions, thereby augmenting the activity of the organization and affording opportunities for wider participation by members in Society affairs.

#### **Organization of Committees**

Each Section and Branch organizes administrative, technical, and professional committees to serve its members' needs under the general direction of the president. They should supplement the functions of the officers, and be responsive to the needs of the members and endeavor to benefit the local community.

Committees are normally of two types: (1) standing committees, with a continuing function, and (2) task committees, given a single assignment and then discharged when the project or study is completed.

Commonly used names of typical standing committees are given in the organization chart, all representing continuing or frequently recurring functions. Sometimes, two or more of these functions are combined under one committee.

#### **Appointment Procedures**

Regardless of the method used for selection of committee members and chairpersons, their appointment should always be confirmed in writing, citing the authority for each appointment. Each committee should have a clear understanding of its goals and obligations.

Task committees should be appointed to undertake discrete projects outside the scope of standing committees or to study matters requiring more specific and detailed attention.

Many Sections participate in regional activities of common interest with other societies or organizations through membership on intersociety committees, frequently by the appointment of one or more officers as delegates to the intersociety committee. In some cases, participation occurs through the designation of a chairperson of a standing committee as the Section representative.

#### **Composition of Committees**

Theoretically, large-sized committees result in more successful operations by spreading the workload and permitting participation by a greater number of members. Membership and Hospitality Committees, in particular, enjoy success by having many members participate.

Appointment to committees should be made from members whose interests and abilities are consistent with committee functions. Chairpersons should have leadership and administrative abilities in order to gain the active support and maximum effectiveness of committee members. In addition, committee chairpersons should be selected with the view that they are potential candidates for offices in the local organization. Younger members are an important element in committees because associate members represent between forty to fifty percent of the assigned membership of most Sections.



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Provisions for the continuity of operation of each standing committee are important and best covered in local bylaws, but may be a part of unwritten local custom. Although the president frequently organizes committees and appoints each chairperson, wherever practical, automatic appointments can relieve the president of some organizational responsibilities. Such provisions facilitate prompt action by committees early in each operating year. Often, for example, two or more past presidents are automatically members of the Nominating Committee, insuring a continuity of knowledge of deliberations in earlier years and relieving appointive authorities of the search for some of the Nominating Committee members.

Appointment of local officers and Board members to membership on committees enhances coordination. For example, the vice-president may chair the Program Committee; the secretary may serve as an ex-officio member of the Membership Committee; and Board members may participate on the Professional Practice Committees.

### **Committee Meetings and Reports**

Each committee should meet at least twice a year or more often as necessary. The first meeting should establish objectives for the year and outline methods for their accomplishment. The proposed objectives and operating plan should be reported to the Section president in writing. The second essential meeting of the year should be held before the Annual Meeting to review the committee's accomplishments and to formulate recommendations for the succeeding committee, both vital features of its annual report. Other meetings ensure coordinated timely action on important matters.

Committee reporting procedures serve two main purposes: (1) to disseminate information to the local membership; and (2) to officially record activities. The latter forms the basis for the Section's annual report to Society headquarters. Disseminating information on committee activities and problems via Section newsletter or brief oral reports at regular meetings strengthens the organization by keeping the members informed. In addition, the publication and distribution of annual committee reports to all committee members, and officers in advance of the annual meeting, provides a record for succeeding committees and the source of information for reports to headquarters. Annual publication of committee reports eliminates the need for reading lengthy reports at annual meetings and permits oral reporting of highlights.

### **Relationship of Section and Branch Committees**

Each Section and each Branch is an independent organization. Although this is true in regard to many committees, it is not true for all. For this reason Sections should coordinate committee functions with their Branches to ensure maximum effectiveness. As the parent organization, the Section should take the initiative. For instance, there is no need for more than one Legislative Involvement Committee where a single Section geographically covers a state. In such a case, Branch participation might be accomplished by having a single representative on the Section committee. Or, the Section might avoid duplication of effort with the Student Chapters by assigning that responsibility to Section or Branch committees on a geographical basis.

Since Sections and Branches do not relate to one another geographically or organizationally in a single common pattern, the resolution of the specifics of committee interaction is left to the parent Section to work out. The objective should be to achieve cooperation and joint action wherever

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possible.

### Committee Descriptions

The scope, objectives, organization, composition, duties and responsibilities of the typical Sections committees are presented on the following pages. The committee job description is designed to be sufficiently detailed to permit development and organization of the committee, yet flexible enough to serve their particular purposes and goals. The committee descriptions are presented in modular format so that committee organizers or chairmen may have a single or multiple page description for reproduction and committee.

#### Administrative

Program Membership  
Finance  
History and Heritage  
Public Information  
College/University Advisory

Hospitality  
Placement  
Awards and Prizes  
Community Involvement

Publications  
Nominating  
  
Strategic Planning  
Long Range Planning

#### Technical Activities

Technical Activities

Technical Groups

Institutes Advisory

#### Professional Activities

Ethics  
Employment Conditions  
Minority Programs  
Guidance  
Continuing Education

Professional Conduct  
Registration of Engineers  
Public Affairs  
Student Chapters  
Educator/Practitioner Interchange

Standards of Practice  
Legislative Involvement  
Younger Members  
Technician/Technology

### Program Committee

The Program Committee plans programs for Section meetings. They should be responsive to the needs and desires of Section members and to engineering matters of interest to the public. This committee directly influences the vitality and effectiveness of the Section by promoting participation in activities and attendance at meetings.

The committee members should enjoy recognition among engineers, public officials, or other leaders in the community. The chairperson should be cognizant of the desires of the members. In many Sections this key post is assigned to a vice president.

Plan and publicize programs well in advance. Some Sections organize programs with a wide range of subjects up to a year in advance. Planning permits the scheduling of open forums, excursions, joint meetings or entertainment, and technical addresses. Circulate notices of meetings well in advance of the meeting date to all assigned members.

### Regular Meetings

Standard procedures have evolved for the conduct of regular meetings. They consist of some sort of informal gathering, or sometimes a meal, preceding a formal meeting at which some business is conducted followed by an informational, educational, or instructional program inviting discussion

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among members.

Advance planning and coordination by the Program Committee are necessary to ensure that meetings run smoothly. This requires liaison with the Hospitality Committee, the newsletter editor, the presiding officer, and all others having a part in the meeting.

### **A Technical Address**

The first requirement for a meeting built around a technical address is a combination of a topic of interest to many members and a speaker who can present the subject effectively. The speaker should hold the spotlight at the meeting.

Adequate arrangements should determine the need for, and availability of, projection equipment or other presentation aids. Consider appropriate people to discuss the topic presented or to ask questions needed to clarify any statements that might have been misunderstood.

ASCE has prepared a pamphlet entitled, **So You're Going to Present a Paper**, available for distribution to prospective speakers.

### **Symposia**

Controversial subjects of concern to engineers and/or the public may arise which create open discussion, particularly if there are a variety of aspects and viewpoints. An ASCE Section meeting provides an ideal facility for such discussion. Two methods are suggested: a symposium of prepared speakers who have been invited to participate or an open forum. Even in the open forum, the speakers should be prepared in advance.

### **Excursions**

Often, an engineering project in the area is of interest to many members of a Section. A member of the Section connected with the project may be put in charge of arrangements for the trip. Proper planning requires an estimate of the number of members expected to attend. Return postcards attached to the excursion notice are helpful.

### **Dinner Meetings / Entertainment**

Many Sections schedule dinners for members and guests before the meeting program. Watch costs so that Section members are not discouraged to attend. The Section or Branch should offer discounts to students. It is advisable to mail return postcards with meeting notices or have a committee contact members in advance to get an accurate count of the reservation. Usually a meal guarantee must be given to the restaurant or caterer 24 hours in advance of the meeting. Always invite potential members. Several Sections have annual family picnics which are also most enjoyable.

### **Joint Meetings**

At every opportunity, invite other organizations, to participate in a joint meeting with the Section. Such cooperative ventures expand the acquaintance and influence of the Section and create understanding and unity among the organizations involved. A joint meeting results when each organization contributes to the arrangements for a meeting. Inviting members of other organizations to attend functions arranged by the Section does not constitute a joint meeting.

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### **Membership Committee: Scope and Objectives**

The membership Committee should be large in number since its success depends on person-to-person contact between the Committee and large numbers of potential ASCE members and inactive present members. Members of the committee should represent a broad distribution of age groups, geography and professional fields. They should be acquainted with activities of ASCE, its publication and pamphlets, and with the procedures of applications, transfer and reinstatement of membership.

Members of the Membership Committee recruit new members, encourage present members to seek advancement to higher membership grades, promote pride and recognition for membership in ASCE and encourage members delinquent in dues to make payment and participate in Section Affairs. Wherever practical, make all contact by personal visit, or by telephone contact or personal letter.

#### **Specific duties are:**

Conduct Membership Promotion-Retention campaigns working closely with headquarters. Identify potential qualified non-member civil engineers by reviewing rosters of Registered Professional Engineers, private company employee lists and lists of employees of public agencies. Special membership kits are available from headquarters. Headquarters can send personal letters of invitations from the President of the Society to prospects developed by the committee.

Maintain a supply and distribute copies of application forms for membership and for transfer to higher grade. Obtain a stock of both, with instructions, from ASCE headquarters.

Encourage all those qualified to transfer to the next higher grade of membership in ASCE, especially in the transfer of Associate Members to Member grade, frequently a critical period in a member's interest. Committee members should be well versed in the qualifications needed.

Obtain from the responsible local officer, usually the secretary, a list of all members of ASCE who reside in the area but are not active members of the Section and encourage them to join and participate in local activities. This duty is continuous; ASCE headquarters notifies the Section whenever ASCE members move into a local Section's area.

Encourage recent ASCE student chapter graduates to apply for membership in ASCE and become active in local Section affairs.

Obtain a list of Section members delinquent in paying dues and encourage a reawakening of their interest in the affairs of the Section.

Annually in the Spring, contact those members who have received notification from headquarters stating that they will be dropped in three months for non-payment of dues and urge them to retain their ASCE membership. National similarly notifies the secretary of the Section.

Publicize, at meetings or by notice in the local Newsletter, the names of all new members and give special recognition to those who have successfully advanced in grade.

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Promote the use of membership grade designation and ASCE insignia, per ASCE bylaws, detailed in the ASCE Official Register.

### Reports

The annual report of the Membership Committee should describe in detail the correspondence, programs, procedures, and successes (or failures) of its activities so that each succeeding committee may improve on the accomplishments of its predecessor.

### Hospitality or Reception Committee: Scope and Objectives

A Hospitality Committee seeks to create a cordial atmosphere at Section functions that imparts a sense of belonging to the group. It enhances the work of the Membership Committee by greeting newcomers, especially younger members and students, and introducing them to members, officers and activities of the Section. It is sometimes organized as a subcommittee of the Membership Committee. If not otherwise provided for, they may also act as hosts to guests and speakers.

### Composition

The Hospitality Committee should consist of members who have outgoing personalities capable of putting strangers at ease. The committee should be large enough to ensure that three or more members attend every function.

### Duties

The Hospitality Committee, acting as official greeters at the entrance to the meeting room, should recognize and greet newcomers and issue name tags to everyone. Some Sections maintain a permanent set of name cards, issuing them to members and making fresh ones for new members and guests. When turned in at the close of the meeting, the name cards are a source of information on attendance and names of new or potential members to the Membership Committee.

Committee members invite potential members, either by telephone or postcard, to attend meetings. The committee obtains the names of those to contact from the name cards of newcomers at previous meetings, from the secretary for members moving into the area, and from the Membership Committee for potential members within the area.

Once present at the meeting, committee members should ensure that newcomers are made to feel that they have joined a compatible group.

### Public Information Committee: Scope and Objectives

The Public Information Committee disseminates information on the activities of the Section, and the value and usefulness of its individual members to the civil and economic life of the area via the media, the Section or Branch web page and speaking engagements.

### Composition

The Public Information Committee should consist of at least three members qualified to contact news media and to express civil engineering activities in terms which are meaningful to the public.

### Duties

A public information program requires contact with editors and program directors of news media and

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establishing with them the timing, form and content of news that is acceptable to them.

The scope of a well-conceived program would include:

- < Announcing forthcoming important meetings and activities of the Section and Region.
- < Issuing news releases summarizing important local ASCE activities and events; include photographs with appropriate captions.
- < Publicizing information on new Section officers, Life Members, and other members who receive honors or awards.
- < Arranging for the presentation of feature articles in magazines or newspapers, and of discussions or interviews for radio or television, on timely civil engineering topics of interest to the general public.
- < Cooperating with the editor of the Section newsletter to ensure that meetings, activities, news about members and other items of interest to local members are publicized in the Section newsletter and, if appropriate forwarded to headquarters for publication in *CIVIL ENGINEERING* or *ASCE NEWS*.
- < Cooperating with other local or regional engineering organizations to publicize information.
- < Arranging for speakers on civil engineering subjects for other organizations, when appropriate, particularly when opportunities arise to present the professional nature of civil engineering.
- < Arranging for sources of information on controversial issues, projects, appointments and like items of interest to the public.

### Reports

In addition to making periodic reports and an annual report to the Section, the committee should maintain records useful to succeeding committees. These records should include at a minimum:

- < Names, addresses, telephone numbers and e-mail addresses of news media together with the names of principal contacts.
- < A clear statement of procedures for making information available to news media.
- < Representative samples of press releases.
- < Procedures for updating information on the web page.
- < A collection of programs and procedures covering the State Public Affairs Grants (SPAG) offered by ASCE National

### Awards and Prize Committee: Scope and Objectives

A Committee on Awards and Prizes selects deserving local organization members, papers, and projects for receipt of awards and prizes. The committee selections are usually final in the case of local awards and prizes, whereas candidates for regional and national awards and prizes often compete with candidates from other Sections.

### Composition

The nature of local awards and prizes may have a bearing on the composition of the committee, but generally five members constitute a workable size. The committee should be a standing committee in continuous service throughout the year in order to have ample time to investigate award and prize opportunities and give due consideration to all potential candidates.

## **Appendix 5**

### **Duties**

Promptly after appointment, the committee should assemble a list of all potential local, regional, and national award and prize opportunities and become a conversant with the requirements of each one. They should establish an operating schedule for complete action in regard to each. They should alert the members, through the Section newsletter, to the various opportunities for awards and prizes and invite their suggestions or proposals.

The ASCE Official Register contains a complete description of all national awards. Other constructive activities for the committee include:

- < Assisting educational institutions in administration of awards and prizes.
- < Encouraging and assisting the Student Chapter Committee in the establishment and administration of an Outstanding Senior Civil Engineering Student award.
- < Presenting Life Membership Certificates at Section meetings giving appropriate and comprehensive descriptions of the recipient's achievements.
- < Considering and establishing new local awards and prizes when warranted

## Appendix 5

- < Developing funds to support the cost of award programs.
- < Preparing plaques, awards and certificates.

### Reports

The Awards and Prizes Committee should provide a written report to the local organization covering:

- < Local awards and prizes and their recipients.
- < Regional and national award and prize recommendations and the success of these candidates.
- < Explanations where no recommendations for award recipients were made.
- < Recommendations for procedural changes and actions by future committees.

It should be apparent that the professional pride of the entire local organization is enhanced by a thoughtful and conscientious committee.

### Nominating Committee

The Nominating Committee recognizes the qualities of leadership and devotion to the aims of ASCE in members of the Section and nominates members possessing these qualities to office in the local organization. A nominating committee often also recommends members as candidates for membership on national committees and promotes candidates for national office. When the committee serves the dual function of selecting candidates for local and national consideration, it is highly desirable that the committee be a standing committee in continuous service throughout the year.

### Composition

Five members are a suitable size for this committee. The Section or Branch should carefully consider selections to the Nominating committee. Automatic appointment of one or more past-presidents to the committee brings an awareness of the obligations of officers. At least one Associate Member should be included to augment the perspective of senior committee members. This appointment emphasizes that candidates for office must represent all segments of the membership.

### Duties

The Nominating Committee should carefully follow procedures for nominating local officers as required by the Section Constitution and Bylaws. They should seek persons for local office who are best able to serve the interests of the membership. Nominations as an officer should not be considered based upon popularity or prominence.

The Nominating Committee should promote capable members of the Section on the national ASCE scene by recommending candidates for national committees and high offices. Section recommendations are a principal source of candidates for members on national committees. Headquarters can provide standard forms for reporting biographical information for this purpose and the committee should ensure that candidates complete the forms properly and in a timely fashion.





# **SECTION FINANCIAL MANUAL**

**For the Fiscal Year Ending 9/30/14**

**(Revised October 2014)**

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# **GENERAL**

## **INTRODUCTION**

The American Society of Civil Engineers (the Society) has local organizations called Sections that have their own boards and operate, for the most part, independently from ASCE's National office, subject to the Bylaws and Rules of Policy and Procedure of the Society. With the approval of Region Governors, Sections are allowed to establish and maintain Subsidiary Organizations (branches, younger member groups, technical committees, Institute branches, endowments, trusts, scholarship funds, etc.) all to provide Section members better opportunity for mutual acquaintance and greater participation in Section activities. Some branches also establish Subsidiary Organizations as well. All of the Subsidiary Organizations are subject to control by the Section and to Bylaws and Rules of Policy and Procedure of the Society.

This handbook provides important information for Section treasurers, other treasurers, other officers and board members regarding financial management and accounting requirements for Sections and their Subsidiary Organizations. The Society's Finance, Legal and Geographic Services Departments are always available to assist Sections with finance, accounting and other matters.

## **COMPLEXITY AND LEVEL OF EFFORT**

There are many variations in size and complexity of our Sections. Some are very small and only require maintenance of a checkbook and simple accounting records, usually using Excel. Others are larger and have multiple Subsidiary Organizations with their own leadership and financial records. Then there is the issue of tax-exempt status and IRS regulations, which requires a higher level of accounting detail and documentation for larger Sections. Many of the larger Sections use association management companies and CPAs to organize and manage their activities and finances. This comes at a cost, but provides professional support to volunteers who may not have the time necessary to manage the details.

If you have a larger Section, you may want to consider having a treasurer and assistant treasurer to spread some of the work load.

## **INSURANCE COVERAGE**

All Sections and Subsidiary Organizations are covered under the ASCE general liability, directors & officers and errors & omissions insurance policies. These provide liability protection to the organizations and their volunteers. The policies have deductibles that may be substantial in relation to an individual Section's finances. Lower deductibles are not maintained due to cost. [Appendix 4](#) contains more information on insurance coverage.

## RESOURCES -- XYTHOS FILE SERVER

Sections have access to the ASCE Xythos file system through secure links. All Sections have access to the general folder “\_All Sections” via the following link: [https://files.asce.org/xythoswfs/webui/xy-131500\\_1-t\\_XjZZjtD1](https://files.asce.org/xythoswfs/webui/xy-131500_1-t_XjZZjtD1) with the password “ascesections”. Each Section treasurer has also been provided with an individual link and password for a folder specifically for their Section. Treasurers should pass along the links and passwords to future treasurers.

The “\_All Sections > Fiscal 2014” folder contains information and spreadsheets that can be used to facilitate accounting work and tax compliance and filing. The folder contains the following:

- Form 1099 and 1096 instructions
- Form W-9 example
- Letter to IRS for tax ID – See “[Dealing With Federal Tax IDs](#)” that follows
- Spreadsheet – Larger Section, Branch, Other.xlsx – Example of spreadsheet that might be used for a larger organization with project accounting (functional) – not necessary to use if you already use accounting software
- Spreadsheet – Simple Sections, Branches, Others.xlsx -- Example of spreadsheet that might be used for small organizations
- Subsidiary Orgs Finances.xlsx – Spreadsheet that can be used to obtain financial information from Branches and other Subsidiary Organizations for combination with the Section’s for tax purposes
- 2014 Section Finance Manual – this manual
- [Checklist for small Sections with Gross Receipts of \\$50,000 or less](#)
- [Checklist for larger Sections](#)

## RESOURCES – QUICKBOOKS ACCOUNTING SOFTWARE

ASCE maintains an Enterprise version of QuickBooks on its servers in Reston, VA. Sections, Branches and their subsidiary organizations may use this software to maintain their accounting records. There are important advantages to using this software as follows:

- Each Section, Branch or subsidiary organization has access to the accounting system and their accounting records 24/7 via a secure internet connection
- The data is maintained and backed up on ASCE’s servers
- If Branches and subsidiary organizations use QuickBooks, combination of the groups’ books with the Section’s for tax reporting purposes is a simple process
- Treasurers stepping down just need to pass along a link, user name and password to the new treasurer
- Efficiencies from more uniformity in accounting and reporting
- Online help and tutorials from QuickBooks
- No cost to ASCE affiliated organizations

If you are interested in using QuickBooks, please contact Jennie Grant, [jgrant@asce.org](mailto:jgrant@asce.org), for further information.

# **STRUCTURE**

## **FORM OF BUSINESS**

Most Sections are unincorporated associations, unless you have filed to be incorporated in your state. Subsidiary Organizations are not separate entities and are divisions of the Sections.

## **SUBSIDIARY ORGANIZATIONS**

Many Sections have Subsidiary Organizations (branches, younger member groups, technical committees, Institute branches, endowments, trusts, scholarship funds, etc.) that maintain their own accounting records. Some of these organizations have obtained federal tax IDs or are using the ASCE tax ID (13-1635293) and have used them in opening their bank accounts. Some have reported their financial activity through their Section and others have not. Certain of these arrangements do not comply with IRS requirements and must be modified.

The Sections have the only tax IDs that are registered as tax exempt (except in Texas); thus, all Subsidiary Organizations must use their Section's tax ID for establishing banking and investment accounts. See "[Dealing with Federal Tax IDs](#)" below for instructions for cancelling tax accounts with the IRS.

Since Subsidiary Organizations operate under their Sections, their financial activity must be combined with the Section's for tax reporting purposes. This requires communication and coordination between the Section and Subsidiary Organization treasurers.

## **STUDENT CHAPTERS**

Student chapters generally are associated with their universities/colleges, operate under their control and use their federal tax ID. As such, they do not need to be combined with a Sections records for tax reporting purposes. Student chapters that use the Section's tax ID should report their finances to their Section. Treasurers should encourage the chapters to report through their university/college.

## **BANKING AND INVESTMENT ARRANGEMENTS**

Section federal tax IDs have been established with the IRS with the naming format: American Society of Civil Engineers – X Section. X being the Section's name, e.g., Virginia Section.

When Branches and other Subsidiary Organizations use the Section's federal tax ID to establish bank or investment accounts, the name used for the account must be "American Society of Civil Engineers – X Section" possibly with addition of Y Branch at the end. If

this is not done, when the bank sends a form 1099 to the IRS, the IRS may identify the tax ID as incorrect, based on the name.

The Sections need to work with their Subsidiary Organizations to comply with this format. Also see “[Dealing with Federal Tax IDs](#)” below.

## **RESERVES**

The term “reserves” refers to the amount of uncommitted money held by an organization at the end of its fiscal year. ASCE does not have a reserve requirement for its Sections and each Section has its own financial situation. The reasons for a Section or Subsidiary Organization to hold reserves include: saving for a large, planned future activity; a cushion in case you go over budget; and anticipation of a temporary decline in revenues. Since Sections generally do not have employees and large fixed annual expenses, the level of reserves can usually be modest.

## **ASCE ANNUAL ALLOTMENT**

Each Section receives an annual allotment from ASCE. The total amount of the allotment for all Sections is determined by the ASCE Board of Direction each year during the budget process and does not change significantly from year to year. Individual Section allotments are determined based on the ratio of the number of Assigned Section Members, less Student Members, to total Section members as of the end of the preceding fiscal year.

ASCE pays the allotments to the Sections by check or direct ACH deposit to the Section’s bank account (preferred method).

# **THE TREASURER**

## **TREASURERS' QUALIFICATIONS**

Treasurers of Sections and Subsidiary Organizations should be familiar with basic accounting principles and how to maintain simple accounting records. Treasurers will use Excel or accounting software, such as QuickBooks, to maintain records. For those who use software, it may take time to learn how to use it. QuickBooks has tutorials and help functions. Treasurers must also reconcile their book transactions to those recorded by their bank. ASCE's Finance Department is also available to assist.

The Section treasurer is also required to prepare financial information for the Section's IRS Form 990-N, 990-EZ or 990. For Sections that meet IRS requirements for Form 990-N, there is little to do other than normal simple bookkeeping. For Sections that must file Form 990, a qualified CPA should be used. For those filing Form 990-EZ, ASCE Finance will provide instructions and assistance. Larger Sections filing Form 990-EZ should consider using a CPA firm to compile and prepare the return.

## **SECTION TREASURERS' RESPONSIBILITIES**

Section treasurers have responsibilities that are very important to their organizations. These responsibilities require a time commitment that depends on the size of the Section and its Subsidiary Organizations. A treasurer's general responsibilities include the following:

- Working with Section officers and board to plan activities and prepare an annual budget
- Maintaining the Section's bank and investment accounts and safeguarding those assets
- Paying approved bills
- Promptly depositing money received in bank accounts
- Maintaining the Section's accounting records on an accurate and timely basis, using outside assistance where necessary
- Reconciling the accounting records to the bank statement monthly
- Preparing accurate periodic financial reports for presentation to the Section's board, comparing budget to actual
- Coordinating with Subsidiary Organizations to ensure they are properly maintaining their accounting records
- Ensuring Subsidiary Organizations are using the Section's federal tax ID for all bank and investment accounts
- Combining the year-end financial information of the Section with its Subsidiary Organizations
- For larger Sections, preparing or having a CPA prepare and file the annual IRS Form 990-EZ or Form 990 tax return, as appropriate (ASCE Finance assists with the 990-EZ filings)



- Coordinating federal tax return efforts with ASCE Finance staff when Form 990-EZ is required
- Arranging for others to audit or review accounting records

## **SUBSIDIARY ORGANIZATION TREASURER'S RESPONSIBILITIES**

Branch and other Subsidiary Organization treasurers also have responsibilities that are very important to their organizations. These responsibilities usually require a lesser time commitment than for Section treasurers. A treasurer's general responsibilities include the following:

- Working with Subsidiary Organization officers, board and/or committee members to plan activities and prepare an annual budget
- Maintaining bank and investment accounts and safeguarding those assets
- Paying approved bills
- Promptly depositing money received in bank accounts
- Maintaining accounting records on an accurate and timely basis, using outside assistance where necessary
- Reconciling the accounting records to the bank statement monthly
- Preparing accurate periodic financial reports for presentation to the organizations leadership, comparing budget to actual
- Coordinating with the Section treasurer to provide for year-end consolidation with the Section's accounting records
- Providing a year-end financial report to the Section treasurer in an agreed upon format by October 31 for September 30 year end organizations
- Arranging for others to audit or review accounting records annually
- When opening new bank or investment accounts using the Section federal tax ID

## **IMPORTANT TASKS FOR TREASURERS**

- Determine if your Section and its Subsidiary Organization's collectively have "Normal Gross Receipts" greater than \$50,000 for the fiscal year.
- Understand the federal tax filing requirements for your Section.
- Maintain your accounting records monthly. Don't put it off until the end of the year.
- Make sure your Subsidiary Organizations have accounting systems and are doing their accounting work.
- Verify that all Subsidiary Organizations are using the Section's federal tax ID.
- After year end, combine Subsidiary Organization records with the Section's
- Check with your state to determine if they have filing requirements and, if so, comply with them.

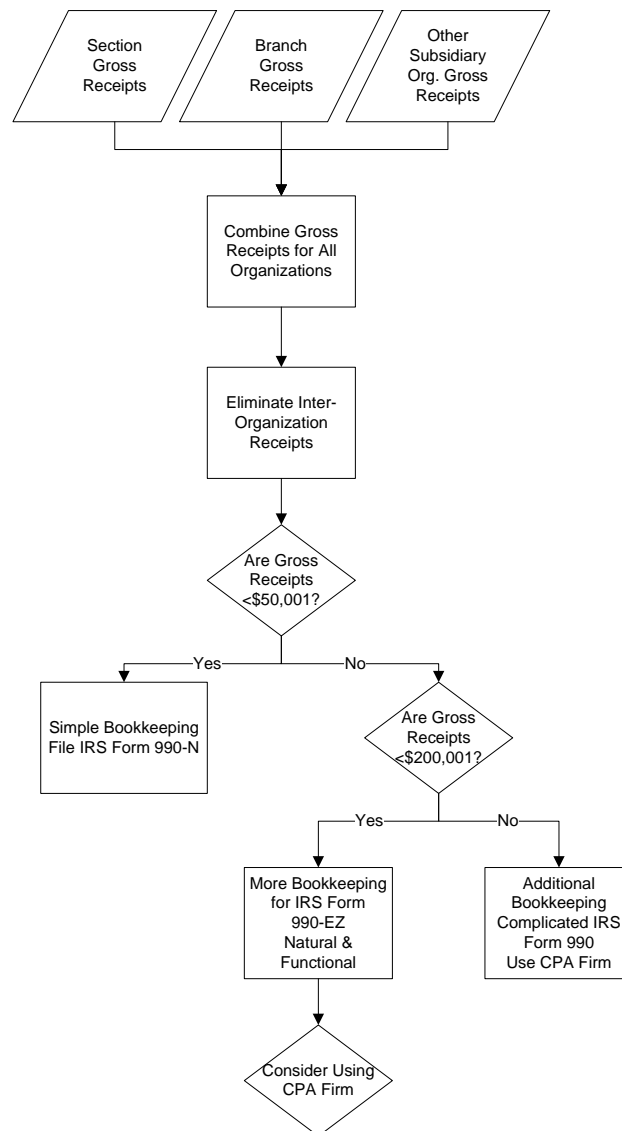
- For Sections with Normal Gross Receipts over \$50,000, ensure that you are accumulating receipts and disbursements in a manner that facilitates preparation of the required federal tax return.
- Contact your Section president and arrange for help if you realize you will not be able to get the treasurer's work done.
- Contact Jennie Grant at ASCE Finance if you need help. Phone 703-295-6189, email [jgrant@asce.org](mailto:jgrant@asce.org).
- Consider hiring a qualified CPA to do your taxes if you are a larger Section.

# **ACCOUNTING AND BUDGETING**

## **SECTION ACCOUNTING REQUIREMENTS -- BASED ON IRS RULES**

The size of Section, including its Subsidiary Organizations, is one of the main factors in determining how to keep your accounting records and the IRS tax reporting that is required. Sections with annual Normal Gross Receipts (as defined below) of \$50,000 or less do not have to report financial details to the IRS via Form 990-EZ or Form 990, so simple accounting is adequate.

The following flowchart describes the process for determining the required complexity of accounting and the IRS tax return requirements:



## ACCOUNTING 101

The following basic accounting practices are suggestions. Based on the size of the Section or Subsidiary Organization, availability of other officers and possible use of an outside bookkeeper, the organization will need to come up with what works well. Since most Sections just have a treasurer, it is important that others review the accounting records and supporting documents (invoices, copies of checks received, etc.) on a periodic basis. Please see the “[Audit and Review](#)” section of this document.

**Cash Basis of Accounting** – Sections and Subsidiary Organizations should use the cash basis of accounting. This means reflecting only transactions where cash has been involved. No attempt is made to record unpaid bills owed by the organization or amounts due to the organization. The reasons for using the cash basis are simplicity and everyone has had experience keeping a checkbook.

**Writing Checks** – One of the jobs of the treasurer is to pay bills. This involves the treasurer receiving invoices or payment requests and writing and signing checks. All payments should be made by check. The best controls for check writing are:

- An officer approves the submitted payment request in writing.
- Member business expense reimbursement requests must have receipts attached for all items over \$25.
- The treasurer prepares the check, codes the disbursement to the proper accounting system account and makes the accounting entry.
- A second officer signs the check. For small organizations this can be cumbersome, so the only practical solution may be for the treasurer to sign.
- Two signatures should be required for checks over \$500 or less, if practical.

**Accepting and Recording Cash Receipts** – Receiving money, whether in the form of cash, check or credit card requires careful control. This is sometimes difficult in small organizations, especially when there is only a treasurer. It is important that cash, check and credit card receipts be recorded in the accounting records and be matched with the corresponding bank deposits on a regular basis. You should never maintain credit card numbers in your files since they may not be secure.

**Maintaining Accounting Records and Transaction Documentation** – It is very important that accounting records and supporting documentation be maintained for five years, especially for IRS purposes. The difficult part is that treasurers change. All organizations need to have a process for maintaining their accounting records and documentation – that’s invoices, payment requests, bank statements (with reconciliation to the accounting records), cash receipt documents, and any other important financial information. Excel spreadsheets and accounting software are easy to pass along since they are electronic. Documents are a bit more difficult. Document scanning is a good option.

**Combining Financial Information for Subsidiary Organizations with Section --**  
*Always remember that Sections must compile the accounting records for all of its related*

*Subsidiary Organizations, **excluding** student chapters that report to their university or college.*

You can find an Excel spreadsheet “Subsidiary Orgs Finances.xlsx” in the Xythos “\_All Sections > Fiscal 2014” folder that you can use to compile Subsidiary Organization financial data.

If you have Subsidiary Organizations that have their own bookkeeping, you need to add their amounts to your Section’s to come up with totals. Here’s a simple example:

	<b>Cash*</b> <b>10/1/2013</b>	<b>Receipts**</b>	<b>Disburse- ments**</b>	<b>Cash*</b> <b>9/30/2014</b>
<b>Section</b>	30,000	25,000	24,000	31,000
<b>Branch 1</b>	8,000	7,000	7,000	8,000
<b>Branch 2</b>	7,000	5,000	6,000	6,000
<b>Forum</b>	500	2,000	2,200	300
<b>Offsets</b>	0	(3,000)	(3,000)	0
<b>Totals</b>	45,500	36,000	36,200	45,300

\* Cash = Total of all bank accounts and investments for each entity

\*\* Receipts and disbursements = amounts for each entity less **offsets**

### **Transfers and Payments Between Cash and Investment Accounts**

When combining your checking, savings and investment accounts for your Section and its Subsidiary Organizations, there may be transfers between accounts, e.g., you move \$1,000 from checking to savings. That would create a cash receipt in savings and a cash disbursement in checking. When combining the balances and activity for the checking and savings accounts, you should **offset** these receipts and disbursements, since they are all within your “Cash, savings and investments”, as defined above.

Also, your Section may make dues or other payments to Branches. Similarly, the receipt for the Branch should be offset against the disbursement for the Section.

### **STRUCTURE OF ACCOUNTING RECORDS**

It is very important that Sections and their Subsidiary Organizations structure their accounting records properly to provide information to aid in management of the organizations and for preparation of tax returns. All of the Section’s Subsidiary Organizations should use consistent ways of categorizing receipts and disbursements so their records may be logically combined for tax reporting – consistency is the key. The following is intended to assist treasurers in establishing and maintaining accounting records.

**Accounting System** – The Section and its Subsidiary Organizations need to select an accounting system for maintaining their books. Smaller organizations may use an Excel spreadsheet. The Society provides a sample spreadsheet designed for this purpose. (See “Spreadsheet - Simple Sections, Branches, Others.xls” in the Xythos “\_All Sections >Fiscal 2014” folder.)

Larger organizations should use an accounting system such as QuickBooks. ASCE provides QuickBooks on-line for Sections requesting that service. The software is maintained on the Society’s servers in Virginia and can be accessed through a secure Internet connection via Citrix. Sections using this service should consider having all of its Subsidiary Organizations use the software. This will allow easier consolidation of financial data for the IRS Form 990-EZ. Contact Jennie Grant if you’re interested in using QuickBooks.

**Creating a Chart of Accounts** -- Accounting systems use a Chart of Accounts, which is a listing of accounts, with identifiers and names. Accounts are where transactions are stored and accumulated in a logical manner.

There are two ways to categorize receipts and disbursements in accounts as follows:

- By receipt and disbursement **Natural** accounts
  - Receipts – meeting registration, interest & dividends, contributions from ASCE, contributions from others, golf outing fees, Section dues paid by members
  - Disbursements – travel, meeting costs, consultants, management company fees, food, supplies, printing, contributions, scholarships, grants
- By **Function** (project) – educational seminar, Report Card effort, board meetings, monthly member meetings, conference, newsletter, meetings with legislators, golf outing, ASCE meeting, scholarship program.

Regarding functions, you need to keep in mind the requirements of IRS Form 990-EZ. That form requires Sections to report on their three major activities, including a description and the amount spent.

To keep accounting records for management and tax reporting purposes you should use a combination of the Natural and Functional methods. The following is an example of Natural accounts for a Section or Subsidiary Organization:

Acct No	Name	Acct No	Name
	<b>Assets &amp; Net Assets:</b>		<b>Disbursements:</b>
100	Checking Account	611	Scholarships
101	Savings Account	612	Cash Awards and Grants
180	Investments	621	Facility Rental
320	Net Assets	622	Catering / Food
	<b>Receipts:</b>	623	Other Event Expenses
411	Contributions (Ind & Corp)	631	Member Travel
412	ASCE Allotment	632	Officer Travel
413	Sponsorships	641	Meeting Expense-Room Fees
414	Section Allotment	642	Meeting Expense - Food
415	SPAG Grant	643	Meeting Expenses - Other
421	Meeting Reimbursement	651	Management Fees
422	Registration	652	Honoraria
431	Special Events Income	653	Accounting Fees
432	Special Events Contributions	654	Consultant Fees
433	Miscellaneous Revenue	661	Books, Subscriptions, Reference
441	Interest-Savings, Short-term CD	662	Postage, Mailing Service
442	Sale of Securities/Investments	663	Printing and Copying
451	Membership Dues	664	Supplies
		665	Telephone, Telecommunications
		666	Payroll
		667	Benefits
		671	Purchase of Investments
		672	Banking Fees
		673	Other Costs
		681	Branch Allotments
		682	Contributions -Student Chapter
		683	Pmts to Subsidiary Organization

You need receipts and disbursements broken down in this manner for the IRS Form 990-EZ, Part I.

The **Functional** style is different in that it provides a total for spending of a project or program – like cost accounting for an engineering project. You may have a function such as Board Meetings. For that you may have member travel, food, room and supplies costs as shown below. The accumulation of those accounts is the amount spent on a project. For purposes of Form 990-EZ, Part III, you need to accumulate program services by major categories with descriptions of the programs and amounts. Functional accounting will provide you with this information.

The list below shows an example of Functional categories with various Natural accounts below them. The project code, e.g., GEN, BOA, identifies the function and the number identifies the natural account type. In the end, if you are using accounting software such as QuickBooks you will be able to easily summarize your receipts and disbursements by Natural and by Function.

<b>Acct No</b>	<b>Name</b>	<b>Acct No</b>	<b>Name</b>
<b>General Revenue:</b>		<b>Educational Seminar:</b>	
GEN 411	Contributions	EDU 422	Registration
GEN 412	ASCE allotment	EDU 631	Member travel
GEN 413	Sponsorships - general	EDU 641	Meetings -- room
GEN 414	Section allotment	EDU 642	Meetings -- food
GEN 451	Member dues	EDU 652	Honoraria
GEN 441	Interest & dividends	EDU 664	Supplies
GEN 442	Sale of investments		
<b>Board Meetings:</b>		<b>Office Costs:</b>	
BOA 632	Officer travel	OFF 632	Officer travel
BOA 641	Meetings -- room	OFF 651	Management fees
BOA 642	Meetings -- food	OFF 653	Accounting fees
BOA 664	Supplies	OFF 654	Consultant fees
		OFF 672	Banking fees
		OFF 664	Supplies
		OFF 665	Telephone, telecommunications
<b>Monthly Meetings:</b>		OFF 663	Printing and copying
MON 421	Meeting reimbursement	OFF 662	Postage
MON 631	Member travel	OFF 666	Payroll
MON 632	Officer travel	OFF 667	Benefits
MON 641	Meetings -- room		
MON 642	Meetings -- food	<b>Golf Outing:</b>	
MON 664	Supplies	GOL 413	Sponsorships
		GOL 431	Special event income
		GOL 432	Special event contributions
		GOL 622	Catering/food
		GOL 623	Other event expenses
		<b>Scholarships:</b>	
		SCO 612	Cash awards and grants

## BUDGET PRACTICES

### Function of a Budget

A budget is a “plan of action.” It represents the organization’s blueprint for the coming months, or years, expressed in monetary terms. This means the organization must know what its goals are before it can prepare a budget. If it doesn’t know where it is going, obviously it is going to be very difficult for the organization to do any meaningful planning. All too often the process is reversed and it is in the process of preparing the budget that the goals are determined.

So the first function of a budget is to record, in monetary terms, what the realistic goals or objectives of the organization are for the coming year (or years). The budget is the financial plan of action which results from the board’s decision as to the program for the future.



The second function of a budget is to provide a tool to monitor the financial activities throughout the year. Properly used, the budget can provide a benchmark or comparison point which will be an early warning to the board that their financial goals may not be met. For a budget to provide this type of information and control four elements must be present:

1. The budget must be well-conceived and have been prepared or approved by the board.
2. The budget must be broken down into periods corresponding to the periodic financial statements.
3. Financial statements must be prepared on a timely basis throughout the year and a comparison made to the budget, right on the statements.
4. The board must be prepared to take action where the comparison with the budget indicates a significant deviation.

Each of these four elements will be discussed below.

### **Steps for Preparation**

It was noted above that a budget should represent the end result of a periodic review by the board or by the membership of the organization's objectives or goals, expressed in monetary terms. Often the budget process is a routine "chore" handled by the treasurer to satisfy the board that the organization has a budget, which the board, in turn, routinely ratifies. Frequently, such budgets are not looked at again until the following year, at the time next year's budget is prepared. This type of budgeting serves little purpose. A budget, to be effective, must be a joint effort of many people. It must be a working document which forms the basis for action.

Here are the basic steps that, in one form or another, should be followed by an organization in order to prepare a well-conceived budget:

1. A list of objectives or goals of the organization for the following year should be prepared. For many organizations this process will be essentially a re-evaluation of the relative priority of the existing programs. Care should be taken, however, to avoid concluding too hastily that an existing program should continue unchanged. Our society is not static and the organization that does not constantly re-evaluate and update its program is in danger of being left behind.
2. The cost of each objective or goal listed above should be estimated. For continuing programs, last year's actual expense and last year's budget will be helpful in estimating this cost. For new programs or modifications of existing programs, a substantial amount of work may be necessary to accurately estimate the costs involved. This estimating process should be done in detail since

- elements of a particular goal or objective may involve many categories of expenses and salaries.
3. The expected revenue of the organization should be estimated. With many organizations, contributions from members or others will be the principal revenue and careful consideration must be given to the expected economic climate in the community. A year when unemployment is high or the stock market is down is a poor year to expect “increased” contributions. With other organizations the amount of revenue will be dependent on how successful they are in selling their program. Possibly some of the programs can be expanded if they are financially viable, or contracted if they are not. Organizations are often overly optimistic in estimating revenue. This can prove to be the organization’s downfall if there is no margin for error, and realism must be used or the budget will have little meaning.
  4. The total expected revenue should be compared to the expense of achieving the objectives or goals. Usually the expected expenses will exceed revenue, and this is where some value judgments will have to take place. What programs are most important? Where can expected costs be reduced? Can some additional revenue be found? This process of reconciling expected revenue and expenses is probably the most important step taken during the year because it is here that the program’s blueprint for the coming year is fixed.

It is important that consideration be given to the reliability of the estimated revenue and expense figures. It is possible that expenses have been underestimated or that revenue has been overestimated? If expenses have been underestimated by 15 per cent and revenue has been overestimated by 10 per cent, there will be a deficit of 25 per cent, and unless the organization has substantial cash reserves it could be in serious difficulty. If the organization has small cash reserves or has little likelihood of getting additional funds quickly, then a realistic safety margin should be built into the budget.

5. The final proposed budget should be submitted to the appropriate body for ratification. This may be the full board or it may be the entire membership. This should not be just a formality but should be carefully presented to the ratifying body so that, once ratified, all persons will be firmly committed to the resulting plan of action.

The steps listed above may seem so elementary that there is no need to emphasize them here. But elementary as they are, they are often not followed and the resulting budget is of very little value to the organization.

### **Responsibility for Preparation**

There has been very little said about who should follow these steps in preparing the budget. The preparation of a budget involved policy decisions. The treasurer may be the

person best qualified to handle the figures, but it is often not the person to make policy decisions. For this reason, a “budget committee” should consist of persons responsible for policy decisions. Usually this means that either the board should itself act as the budget committee, or it should appoint a subcommittee of board members.

## **AUDIT AND REVIEW**

Sections and Branches come in many shapes and sizes, some with Subsidiary Organizations. Generally, because treasurers are the primary bookkeepers, one individual handles most of the accounting functions. It is prudent to have a mechanism through which the work of the bookkeeper is reviewed by other volunteers or reviewed or audited by a CPA firm, depending on the size and complexity of the organization. The auditors or reviewers should report to an audit committee and to the board.

Many Sections and Subsidiary Organizations do not have the resources to pay for a professional audit or review. Audits by accounting firms are the most expensive and involve rigorous procedures. Reviews are less expensive, require less effort and are appropriate for most of our larger Sections and Branches. Sections and Branches with \$250,000 or more of combined (a) annual cash receipts and (b) total assets (excluding assets managed by ASCE National), should strongly consider retaining an independent certified public accountant to review or audit their financial statements and possibly prepare their federal tax return. Independent auditors should not provide non-audit (other than tax return preparation) services to the Sections and Branches, unless approved by the Section or Branch Board of Directors.

Smaller Sections, Branches and other Subsidiary Organizations should have an individual or committee charged with reviewing the accounting records and comparing them to supporting documentation, including bank statements, cash receipt documents and invoices and payment requests. In looking at the accounting records the reviewer should check documentation for transactions and look at the numbers to evaluate whether they make sense based on their knowledge.

Volunteer reviewers must be free from financial ties to the Sections or Subsidiary Organization and free from any other relationship that would interfere with their independent judgment.

# **TAX REQUIREMENTS**

## **GENERAL FEDERAL TAX INFORMATION**

ASCE Sections are 501(c)(3) tax-exempt organizations for federal income tax purposes and have federal tax IDs (EINs) registered as tax-exempt with the IRS. The Sections have their tax-exempt status under a group exemption filed by ASCE with the IRS (exemption number 2676). Branches (other than in Texas) and other Section Subsidiary Organizations have not been registered with the IRS as tax-exempt organizations and, therefore, must operate under their respective Section's tax exemption. Because the Sections are tax-exempt, they must file an annual information return (Form 990-N, Form 990-EZ or Form 990, depending on size) with the IRS that includes financial information for the Sections, including all Subsidiary Organizations. Returns are due to the IRS by the 15<sup>th</sup> day of the fifth month after year end – February 15 for Sections with a September 30 year end. Extensions can be obtained from the IRS through August 15.

If a Section or Branch forms a new Subsidiary Organization, that organization must use the Section's federal tax ID when opening their bank and/or investment accounts. They should never establish a separate federal tax ID with the IRS.

## **DEALING WITH FEDERAL TAX IDs**

If a Subsidiary Organization has a federal tax ID different than the Section's you will need to contact the IRS to cancel the tax account. **If they are using the ASCE tax ID (13-1635293), DO NOT contact the IRS to cancel the account, just do steps 3 and 4 below.** To cancel an account, do the following:

1. Mail a letter to the IRS asking that they cancel the account for the tax ID, using the "Letter to IRS for Tax ID.doc" in the Xythos "\_All Sections > Fiscal 2014" folder.
2. On the template, include your name and address (so that the IRS can respond to you) and the Subsidiary Organization's full name and tax ID number.
3. Contact your bank and investment account managers and request that the tax ID on your account be changed to that of your Section. Some institutions may just require that you file a new form W-9, while others may ask for affirmation of validity of your tax ID. **Be sure to follow the naming convention described in the "[Banking and Investment Arrangements](#)" section of this document.**
4. If your financial institution requires affirmation of the validity of your tax ID, you may request that ASCE Finance provide the IRS-approved tax ID list directly to them. Please provide us with an email address for submission of this document to your financial institution.

## **DETERMINING IF MY SECTION HAS NORMAL GROSS RECEIPTS < \$50,001**

Sections with Normal Gross Receipts of \$50,000 or less require a lower level of detail for tax reporting purposes. The Section still needs to keep accounting records so that it can manage cash receipts and disbursements in relation to a budget. This can be accomplished by using an Excel spreadsheet or accounting software such as Quicken or QuickBooks.

If your Section, including its Subsidiary Organizations, has **Normal Gross Receipts** (as defined below) of \$50,000 or less, the Section may file IRS Form 990-N, which is an electronic postcard. (ASCE Finance will do this filing for the Section.) This is a simple process that requires minimal information. To determine if you qualify to file this form and to see what information is required, see below. Remember, in determining if your Normal Gross Receipts are \$50,000 or less, you need to include all Subsidiary Organizations that are related to your Section, excluding student chapters that use university/college tax IDs.

**How do I determine “Gross Receipts”?** -- Gross receipts are the total amounts the Section and its Subsidiary Organizations received from all sources during its **annual accounting period** (usually years ended September 30), without subtracting any costs or expenses. This includes all money received from members, ASCE, sale of investments, sale of products, sale of educational seminars, reimbursements from members for meeting costs, and any other money you have received. If you have Subsidiary Organizations, amounts received by the Subsidiary Organizations from the Section (or vice versa) should be excluded from gross receipts, so as to not count them twice.

**How do I determine if our “Normal Gross Receipts” are \$50,000 or less?** – Normal Gross Receipts are the average Gross Receipts for the last 3 years, including the year for which the calculation is being made.

**Tax Reporting for Small Sections** – If you qualify as a small nonprofit organization and do not have to report numbers to the IRS, your accounting can be simple. You can use Excel or software such as Quicken or QuickBooks. You should keep your books on the cash basis, i.e., beginning bank and investment balance, plus receipts, minus cash disbursements, equals the ending bank and investment balance.

Depending on the needs of your Section, you may keep your records simply based on the types of receipts and disbursements you have (Natural Accounts), e.g., ASCE allocation, dues, seminar registration receipts, travel expense, meeting expense, telephone expense. Or you may want to expand this to include accounting for functions – like project accounting. See “[Structure of Accounting Records](#)” and the sample Excel spreadsheets for more information.

## SECTIONS WITH NORMAL CASH RECEIPTS OVER \$50,000

Larger Sections have more detailed federal tax reporting requirements. For fiscal 2011, Sections with Normal Gross Receipts in excess of \$200,000 need to file IRS Form 990, which is an extensive form. These Sections should use the services of a qualified CPA firm to organize their accounting and prepare their returns.

For Sections with Normal Gross Receipts greater than \$50,000 and less than \$200,001, a less complicated IRS Form 990-EZ is required. Several larger Sections in this group use CPA firms to assist in preparation of the form. Otherwise, Sections work with ASCE Finance to prepare and submit the tax form.

For instructions for preparing IRS Form 990-EZ, please see Appendix 3.

## SPECIAL TAX MATTERS

### Golf Tournaments and Other Fund Raising Events

Fund raising events such as golf outings have special tax reporting requirements if the total receipts for the event exceed \$15,000. Participants in the event pay to attend and a determination needs to be made as to what part of their payment is for something that they receive, i.e., golf, food, awards, etc. and what part can be considered a contribution to the Section or Subsidiary Organization. Organizations need to keep track of event expenditures to capture this information. Here is an example of an outing with 100 participants:

	<b>Total</b>	<b>Per Golfer</b>
<b>REVENUE (Receipts)</b>		
Registration fee (100 x \$150)	\$15,000	\$150
Sponsorships (2 @ \$500)	1,000	
<b>Total Revenue</b>	<b>16,000</b>	<b>150</b>
<b>EXPENSE (Disbursements)</b>		
<b>Benefits to Golfers:</b>		
Green & cart fees (100 x \$45)	4,500	45
Food (100 x \$20)	2,000	20
Prizes	1,000	10
T-shirts (100 x \$10)	1,000	10
<b>Other:</b>		
Signs	100	
Advertising	400	
Range balls	100	
<b>Total Expense</b>	<b>9,100</b>	<b>85</b>
<b>Net Revenue</b>	<b>\$6,900</b>	<b>\$65</b>

There are 100 participants paying \$150 each. Each participant receives an \$85 benefit for their participation. The remainder of \$65 can be considered a charitable contribution by

the participant. The Section/Branch should make the participants aware of this allocation if the participants want to take a charitable deduction. Events have other expenses that do not provide a direct benefit to the participants and do not enter into this calculation.

Regarding the sponsorships, if the contributors only receive recognition of their contribution, e.g., a sign “Sponsored by ABC Corporation” their sponsorship may be considered a contribution to the Section/Branch by the IRS. The sponsor should check with their tax advisors.

## **Lobbying**

501(c)(3) organizations are allowed to do a limited amount of lobbying (as defined by the IRS). The amount spent for Lobbying must be disclosed on a Schedule attached to IRS Form 990-EZ or Form 990, as appropriate. For a definition of lobbying refer to the following IRS Web page: <http://www.irs.gov/instructions/i990sc/ch01.html>. If you think your Section does lobbying, please contact Tara Hoke, Assistant General Counsel, for assistance in determining federal return filing requirements.

## **Unrelated Business Income (UBI)**

Some Sections and Branches sell advertising space in paper and/or electronic newsletters or other publications. This could be considered taxable UBI by the IRS. If a Section or Branch (if not combined with the Section) has UBI, (net of associated expenses) in excess of \$1,000, it is required to file a federal Form 990-T income tax return and pay federal income taxes. The IRS definition of UBI is on the following Web page: <http://www.irs.gov/charities/article/0,,id=96104,00.html>.

Briefly, the activity must be considered by the IRS as a trade or business (advertising meets this definition), regularly carried on (monthly or quarterly newsletter), and not substantially related to furthering the exempt purpose of the Section (selling ads to engineering firms or others is not substantially related). An important exclusion is: If 85% or more of the labor to produce the publication (paper or electronic) is from volunteers, the activity does not create UBI. UBI may also trigger a requirement to file a state income tax return and payment of state income taxes, depending on state laws.

If you have net advertising receipts over \$1,000, you must keep a record of how much time was spent by volunteers and outside parties if you want to use the 85% volunteer exclusion. If you do not meet this exception, you need to have a method for determining how much expense will be offset against the UBI in filing your form 990-T.

If you think you have Unrelated Business Income or are not sure, ASCE Finance will assist you in making the determination and with the federal filing, if required.

## **IRS FORMS 1099 AND W-9**

### **For Payments to Vendors and Others**

Nonprofits are required by the IRS to obtain federal tax IDs for and send Form 1099-Misc to certain organizations or individuals to which the nonprofit pays \$600 or more during a calendar year. 1099-Misc must also be sent to the IRS with a cover Form 1096. You should use IRS Form W-9 to obtain tax IDs. You generally do not have to send 1099s to the following (see IRS Form 1099 and 1096 Instructions in Xythos “\_All Sections > Fiscal 2014” folder):

- Individuals reporting business expenses to you and being reimbursed for them, e.g., member travel expenses
- Payments to corporations
- Payments for merchandise, telephone, postage & delivery
- Payments to tax-exempt organizations

The IRS imposes penalties for non-compliance with these rules.

### **For Payments Received**

Organizations making payments to your Section or Subsidiary Organization may require that you complete a form W-9. The IRS requires that you provide them with a completed form. An example is included in the Xythos “\_All Sections” “Fiscal 2014” folder.

## **STATE TAX REPORTING AND REGISTRATION**

Some states require that tax-exempt organizations file a state information tax return, possibly with a copy of their federal return. In addition, some require registration to do business in the state. Also, depending on your state, you may be able to apply to receive state tax-exempt status for your purchases. You should check with your state regulators to ensure you are in compliance and maintain – and pass along to subsequent treasurers – your state registration information.

## **CREDIT CARD PROCESSING**

Many Sections and Branches accept payments via credit card. PayPal has a relatively inexpensive credit card processing solution at a rate of 2.2% plus \$0.30 per transaction for 501(c)(3) nonprofit organizations.

You can find information on PayPal’s nonprofit service at <https://www.paypal.com/webapps/mpp/donations>.

To establish your organization as eligible for nonprofit rates, you will need documentation from the ASCE Finance Department. Please contact Jennie Grant at [jgrant@asce.org](mailto:jgrant@asce.org).



# ASCE CONTACTS

## ASCE Finance Contact Information

Jennie Grant  
Senior Accounting Manager  
[jgrant@asce.org](mailto:jgrant@asce.org)  
Phone: 800-548-2723 x6189  
703-295-6189

Peter Shavalay, CPA  
Chief Financial Officer  
[pshavalay@asce.org](mailto:pshavalay@asce.org)  
Phone: 800-548-2723 x6109  
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## ASCE Legal Contact Information

Tara Hoke  
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[thoke@asce.org](mailto:thoke@asce.org)  
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Tom Smith  
General Counsel  
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## APPENDIX 1

### ACCOUNTING & TAX CHECKLIST FOR ASCE SECTIONS WITH **NORMAL GROSS RECEIPTS OF \$50,000 OR LESS**

Fiscal 2014 – October 1, 2011 through September 30, 2014

#### DESCRIPTION

Done

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#### **General**

Banks and investment managers have the proper **Section tax ID** associated with accounts. This includes all Branches, other Subsidiary Organizations of Sections and Branches, and scholarship and awards funds.

Sections check with state authorities to determine if state registration and/or tax filings are required.

Section files annual registration form with state, if required.

Ensure that new Branches or other Subsidiary Organizations use the Section federal tax ID when establishing new bank and investment accounts.

Encourage student chapters to work with their universities/colleges relating to finances. They should use the university/college tax ID.

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#### **Accounting**

All transactions have been recorded in our accounting system using the cash basis.

The accounting records have been reconciled to the bank and investment statements.

Arrangements have been made with Branches and other Subsidiary Organizations to send annual financial information to the Section for roll up with the Section's. This should be completed no later than November 30.

When adding Subsidiary Organization finances to the Section's, eliminate payments between organizations and accounts.

Determine that Normal Gross Receipts for the Section plus its Subsidiary Organizations total \$50,000 or less.

A process is in place to pass along accounting records and associated documentation to the next treasurer.

Notify Jennie Grant in ASCE Finance that cash receipts for the Section and all Subsidiary Organizations have been accumulated and total \$50,000 or less. Authorize her to file IRS Form 990-N for fiscal 2011.

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#### **Budgeting**

The treasurer has worked with the board to prepare a fiscal 2013 budget

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#### **Audit and Review**

The Section and all of its Subsidiary Organizations have established a review or audit process for accounting records.

## APPENDIX 2

### ACCOUNTING & TAX CHECKLIST FOR ASCE SECTIONS WITH **NORMAL GROSS RECEIPTS > \$50,000 AND < \$200,001**

Fiscal 2014 – October 1, 2011 through September 30, 2014

#### DESCRIPTION

Done

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#### **General**

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Banks and investment managers have the proper **Section tax ID** associated with accounts. This includes all Branches, other Subsidiary Organizations of Sections and Branches, and scholarship and awards funds.

Sections check with state authorities to determine if state registration and/or tax filings are required.

Section files annual registration form with state, if required.

Ensure that new Branches or other Subsidiary Organizations use the Section federal tax ID when establishing new bank and investment accounts.

Encourage student chapters to work with their universities/colleges relating to finances. They should use the university/college tax ID.

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#### **Accounting**

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The Section and Subsidiary Organization accounting systems have been structured to promote preparation of the IRS Form 990-EZ tax return. See corresponding sections of this memo.

All transactions have been recorded in the Section's and Subsidiary Organizations' accounting systems using the cash basis.

The accounting records have been reconciled to the bank and investment statements.

Arrangements have been made with Branches and other Subsidiary Organizations to send annual financial information to the Section for roll up with the Section's. This should be completed no later than November 30.

When adding Subsidiary Organization finances to the Section's, eliminate payments between organizations and accounts.

Determine that Normal Gross Receipts for the Section plus its Subsidiary Organizations total \$200,000 or less. If over \$200,000 engage a CPA firm to prepare the federal Form 990. Sections using a CPA firm must forward a copy of their tax return, as filed with the IRS, to Jennie Grant in ASCE Finance.

A process is in place to pass along accounting records and associated documentation to the next treasurer.

The treasurer has compiled information for the Form 990-EZ tax return and has input data into the tax return Excel spreadsheet contained in the Section's Xythos folder (990EZcalcV10r1.xls).

The treasurer has provided the above Excel spreadsheet to Jennie Grant in ASCE Finance for preparation of the federal Form 990-EZ. Also, forward copies of financial reports used to prepare the spreadsheet.

The treasurer has reviewed, signed and sent the Form 990-EZ to Jennie Grant in ASCE Finance.

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**Budgeting**

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The treasurer has worked with the board to prepare a fiscal 2013 budget

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**Audit and Review**

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The Section and all of its Subsidiary Organizations have established a review or audit process for accounting records.

## **APPENDIX 3**

### **COMPLETING THE FORM 990-EZ WORKSHEET**

*For Sections with Normal Gross Receipts Over \$50,000*

#### **How to Classify Cash Receipts and Disbursements for your Return**

For the tax return, your receipts need to be broken down in a few categories as follows:

- Line 1 – Contributions, gifts, grants, and similar amounts received (include allocations and SPAG grants received from ASCE )
- Line 2 – Program service revenue including government fees and contracts (money received for your programs)
- Line 3 – Membership dues and assessments (dues you charge your members – may be collected for you by ASCE )
- Line 4 – Investment income (interest, dividends and gains or losses on sale of investments received)
- Line 8 – Other revenue (any other cash receipts not classified above)

These must add up to the total of your cash receipts. That total will show on Line 9.

Disbursements are a little more complicated. Your disbursements need to be broken down in two ways for the tax return as follows:

#### **(1) For Lines 10 to 16**

- Line 10 – Grants and similar amounts paid
- Line 11 – Benefits paid to or for members (should be zero)
- Line 12 – Salaries, other compensation and employee benefits (zero for most), does not include reimbursed business expenses (e.g., travel) documented by expense receipts
- Line 13 – Professional fees and other payments to independent contractors
- Line 14 – Occupancy, rent, utilities and maintenance
- Line 15 – Printing, publications, postage and shipping
- Line 16 – Other expenses (travel, meetings, supplies, honoraria, other cash disbursements not covered above)

These must add up to the total of your cash disbursements. That total will show on Line 17.

#### **(2) For Lines 28 to 31 – Program Services**

You may have to estimate these if you have not maintained your accounting records this way. Going forward, you should structure your accounting records to capture this information.

This is a breakdown of your expenses (cash disbursements) for three major programs (if you have three), for example, continuing education, conferences, newsletter, awards program, technical meetings on local civil engineering issues. This is how much your Section and its related entities spend on each major program activity (as defined) with a

description of what the program is. Line 31 is a total for your **other** program activities. The total of these (Line 32) does not have to equal your total cash disbursements since you have other expenses, such as general administration.

### **Opening and Saving the Excel Worksheet**

We will provide you with an Excel worksheet you should use to provide information for your Form 990-EZ. The folder containing the Excel worksheet contains other files that you should not open or use. Please copy the Form 990 folder to your computer so that you may access and save the spreadsheet.

To open the Excel worksheet, open the **990EZcalcV10r1.xls** Excel file. The worksheet will begin to open. Click on “Continue”, then on “I ACCEPT”, and then click on the **2014 tab** on the bottom left. This will take you to the entry worksheet.

After making your entries, make sure you save the worksheet on your computer. You will need to email the completed Excel worksheet to ASCE Finance for review and conversion to the IRS tax form.

### **Headings**

Heading Items A – F – Check entries for accuracy. We are using the National Office address and phone number, so that we are not changing them frequently.

Heading Item G – Use the cash method of accounting to prepare your return. Check the appropriate box.

Heading Item H – If you **do not** have donors who contributed \$5,000 or more to your section check the box. If you do, please do not check the box and see the “Contributions Received” section below. Please note that ASCE Allotments are contributions and need to be disclosed.

Heading Item I – If you have one, fill in your Website URL.

Heading Item J – All ASCE Sections are 501(c)(3) organizations.

### **Part I - Revenue, Expenses and Changes in Net Assets or Fund Balances**

**Revenue** – Enter your **cash receipts** (revenue for accrual basis) on the appropriate lines. Click on the <?> if you have a question as to what should be included on a line. Most likely you will have entries for lines 1-4 and 8. Line 9 in this section must total to the amount of your cash receipts (revenue for accrual basis) from your accounting records – reconciled to your bank account(s).

If you have “other revenue” for line 8, click on the [Schedule 1](#) and briefly describe the items and enter amounts that make up other revenue. The total from the schedule will carry forward to Line 8.

**Expenses** – Enter your cash disbursements (expenses for accrual basis) on the appropriate lines. Click on the <?> if you have a question as to what should be included on a line. Most likely you will have entries for lines 13-16. Some larger sections may have entries on Lines 10 & 12.

If you have made grants, click on the [Schedule 2](#) link and describe each grant and enter its amount. The total will carry forward to Line 10.

If you have “Other expenses” for Line 16, click on the [Schedule 3](#) and briefly describe the items and enter amounts that make up other expenses. The total from the schedule will carry forward to Line 16.

Line 17 in this section must equal the total amount of your cash disbursements (expenses for accrual basis) from your accounting records – reconciled to your bank account(s).

Definition: Program service revenue and expense – A Program Service is a major (usually ongoing) objective of an organization, such as newsletter to inform members about civil engineering issues; educational seminars to enhance the abilities of civil engineers; and committee meetings to discuss state infrastructure issues. Program revenue is asked for on Line 2. Program expense information is required in Part III.

### **Net Assets:**

Line 18 is the computed net of cash receipts and disbursements (or revenue and expense for accrual basis) for the fiscal year. This must be equal to the net from your accounting records.

Line 19 – Fill in the Net Asset balance at the beginning of the year. For cash basis Sections, this is the beginning-of-year total of your cash, checking, savings and investments. For accrual basis Sections, this is your beginning-of-year total net assets.

Line 20 – Most likely, you won’t have an entry for this line. Please call ASCE Finance if you think you need an entry on this line.

Line 21 – Net assets at end of year will compute automatically. For cash basis, this will be equal to the total for your cash, checking, savings and investment balances at the end of the fiscal year. For accrual basis, this will be the net of total assets and total liabilities at the end of the fiscal year.

## **Part II - Balance Sheets**

To complete balance sheet information, click on the [Go to Worksheet](#) link on the line that starts with Part II Balance Sheets. This will take you to worksheet areas where you can put the details that make up the values for the lines. For example, for Line 22 (Cash, savings, and investments) on the worksheet you can enter Checking account on line 1 and Savings account on line 2 with beginning and ending balances for the fiscal year. The totals will carry forward to Line 22. You must enter beginning and end of year balances for your balance sheet accounts.

Lines 22-24 & 26 – For cash basis, line 22 should be the total of your cash, savings and investments at the beginning and end of the year for columns A and B, respectively. You should not have any items on lines 23, 24 and 26. For accrual basis, you may have other assets on line 24 and liabilities on line 26 with a very brief description as to what they are. Use the [Go to Worksheet](#) function to get to the corresponding spreadsheet. Line 27 for the beginning of the year must be equal to Line 19. Line 27 for the end of the year must equal Line 21.

## **Part III - Statement of Program Service Accomplishments**

We have included a very brief description of the exempt purpose for Sections on the Excel worksheet (max. 46 characters). This corresponds to the tax exemption documents filed with the IRS.

When you keep your accounting records in the future, you will have to capture your cash receipts and disbursements (revenue and expenses for accrual basis) by the types of program services that you do. For example: newsletter to inform members about local civil engineering issues; educational seminars to enhance the abilities of civil engineers; and committee meetings to discuss state infrastructure issues. For fiscal 2009, you may estimate the portion of your expenses that are attributable to your three largest program services.

Under this area, on Lines 28-30 describe what you have achieved for the three largest program services with corresponding amounts. For each line (28-30) there are three 84-character lines you can use to provide information. If you received grants for these, include the amount in the appropriate box. Describe the program services and enter the amounts in the column to the right.

Complete line 31 for the amount of other program expenditures. The total on line 32 must be less than Total Expenses on Line 17 of Part I, since you have other, non-program, cash disbursements such as administrative costs.

## **Part IV – List of Officers, Directors, Trustees and Key Employees**

In this area, you need to list your officers, directors and key employees, their addresses, their titles and how much time they devote to the Section (e.g., 1 Hr/Week), how much



they are paid (usually -0-), how much they are paid in benefits if their paid (usually -0-), and any expense allowance they receive. Note: The expense allowance does not include reimbursement for business expenses (e.g., travel) for which they submit receipts to the Section. It only includes payments to them that are beyond documented business expenses.

If there is compensation paid, check the box for Option 1 (Form W-2 Method) and use the amount of compensation for the calendar year that falls within the Section's fiscal year, e.g., for the fiscal year ended September 30, 2009, use calendar 2008 W-2 compensation.

## **Part V – Other Information**

This is a series of questions you need to answer for your section. The following information should help you select the correct answer:

Lines 33 & 34 – Answer should be No.

Line 35a – If the Section had unrelated business income of \$1,000 or more, check Yes and contact ASCE Finance to discuss. You are required to file a Form 990-T and possibly pay federal income taxes. We will assist you in filing that form.

Line 35b – If you answered Yes to 35a answer Yes, since you will file a Form 990-T. Otherwise leave the boxes blank.

Line 36 – Answer should be No.

Line 37a – The answer for this should be -0-. 501(c)(3) organizations are not allowed to make political expenditures.

Line 37b – The answer for this should be No.

Line 38 – The answer should be No.

Line 39 – No entry required.

Line 40a – Enter zeros.

Line 40b – The answer should be No.

Line 40c – The answer should be zero.

Line 40d – The answer should be zero.

Line 40e – The answer should be No.

Line 41 – If your state requires a copy of Form 990-EZ to be filed, enter the state name.

Line 42a – Enter the name, address and phone number where the records will be maintained. If the records are passed on from year to year, enter the latest information available.

Line 42b – The answer should be No.

Line 42c – The answer should be No.

Line 43 – No entry required.

Line 44 & 45 – The answers should be No.

## **Part VI – Section 501(c)(3) organizations only**

Line 46 – The answer should be No. As 501(c)(3) organizations, Sections should not be involved in direct or indirect political campaign activities.

Line 47 – If you believe your section has been involved in lobbying activities at the federal, state or local level contact ASCE Finance to discuss. If you lobby, you will have to file Schedule C of Form 990-EZ.

Line 48 – The answer should be No.

Line 49 – If your section made a transfer to such an organization, please contact ASCE Finance.

Lines 50 & 51 – Check the boxes for NONE if your section had no employees earning over \$100,000 for the year.

**Filing Information** – Fill in the name of the Section officer signing the return. This should be the President or Treasurer.

### **Contributions received**

To complete your tax return, we need to have a list of contributions of \$5,000 or more received from any one contributor, including ASCE . That includes Section allotments and SPAG grants from ASCE. Provide ASCE Finance with a list of contributor names, addresses and amounts.

## **APPENDIX 4**

### **INSURANCE COVERAGE**

ASCE includes all Sections, Branches and Other Subsidiary Organizations, under its Liability Insurance coverage for the purpose of providing protection against claims for Bodily Injury and Property Damage arising from the usual activities of each of the ASCE units of membership throughout the United States, as well as coverage for pro-bono work done on community service projects under the auspices of ASCE. There is no cost to our local units for this service.

#### General Liability

This coverage is similar to the liability insurance in force on behalf of ASCE National Headquarters.

Policy coverage: a limit of \$1,000,000 general liability and \$10,000,000 excess coverage protecting each Section, Subsidiary Organization, Committee and members thereof which they may become legally obligated to pay as damages because of bodily injury or property damage claims arising from the usual activities of the Society units.

Medical costs or damages arising from job-related illnesses or injuries are not covered. These should be insured separately through Workers Compensation insurance.

In the case of a function where alcoholic beverages are served, our policy includes coverage for claims made under various states' host liquor laws, however, our policy will only apply if alcoholic beverages are served at a social function by a trained professional such as a bartender or waiter employed by the facility at which the event takes place. Our coverage will not apply if ASCE organizations share in the profits from the sale of alcoholic beverages. It is advisable to caution the facility where alcoholic beverages will be served that they should check identification to ensure that all drinkers are of minimum legal age.

Athletic activities are not covered under our liability insurance. These include events such as golf outings, walkathons, fun-runs, ball games, etc.

If a hotel or other facility wants proof of coverage or to be named as an additional insured under our current policy, we will need at least two weeks advance notice in order to provide a certificate for the specific event.

In addition, we cover directors and officers of Sections (not Branches) from claims arising as a result of negligent act. Further information concerning this service is available upon request.

#### Professional Liability

This insurance covers damages from claims arising due to the negligence of those people who are actively involved in a pro-bono project. The policy defines these projects as being public service/educational engineering projects conducted by the association or its

member chapters. It covers ASCE national as well as its Sections and Subsidiary Organizations. It also covers employees or directors of these entities.

Policy Coverage: the limit of the insurance coverage is \$5,000,000 per occurrence/annual aggregate, which includes the cost of defense. There is a deductible of \$50,000 per wrongful act.

As long as this policy is in effect, members can be assured that their work on these kinds of projects is covered. However, it is suggested that when a Section or Branch considers undertaking a project that you contact Sandy Mills at ASCE Headquarters (1-800-548-2723, ext. 6165) in order to discuss the matter. If necessary, ASCE will get an opinion from its insurance broker as to whether the project will be covered.

The policy does contain some exclusions from coverage, among which are: dishonesty or fraud; infringement of patent copyright or trade mark; bodily injury or property damage liability; and contractual liability.

There are several other exclusions as well and for this reason it is important to be sure that the policy does cover the proposed project prior to making a commitment to undertake it.

## **Role of ASCE Sections in Professional Conduct Cases**

It has been historic practice for ASCE to use individual members or committees of ASCE Sections to assist in professional conduct investigations. It should be made clear at the outset, however, that the role of ASCE Sections in such investigations does not extend to determining whether or not a violation of the Code of Ethics has occurred, or to take disciplinary action against a member who has been accused of breach of the Code of Ethics. The Section's role should be limited purely to investigatory activities.

Some professional societies enforce their codes of ethics at the local level. Not so with ASCE. Only the Committee on Professional Conduct (CPC) appointed by the national Board of Direction can direct a formal investigation of an alleged violation of the Code of Ethics. Charges against any member may be initiated upon the recommendation of CPC or upon the written request of then or more members, only the Executive Committee or Board of Direction can conduct a formal hearing, determine whether or not a violation has occurred, and take disciplinary action.

### **Sections as Resources**

There are a number of advantages to CPC and the Society in using ASCE Sections as investigatory resources in professional conduct investigations:

- Local personnel may be acquainted with individuals and circumstances involved in the alleged violation, and so may be able to uncover more evidence than national staff or CPC efforts.
- Use of Section members or local committees extends the efforts of the national committee without significant increase in cost.
- When local investigators make it clear to the member that they are only conducting a fact-finding investigation, individuals involved may be more cooperative.

### **The Section Role**

General – First of all there are some general things that ASCE Sections can do.

- Discover and report possible violations of the Code of Ethics to CPC through the Society's Executive Director.
- Bring to the attention of the membership, public officials, and the general public, ASCE's high ethical standards and the diligence of the Society in enforcing these standards.

- Exert efforts to have the NCEES *Model Rules of Professional Conduct* adopted by registration boards in states where such rules have not been adopted.

Specific Investigatory Function – Where an ASCE Section has some indication that a Society member may have violated the Code of Ethics, the Section should report details of the alleged violation to CPC through the Executive director. CPC must then decide whether there is sufficient reason to open a formal investigation of the charges.

If CPC decides to initiate a formal investigation of charges brought to its attention from any source, one possible investigatory resource is the Section in whose area principals in the case reside. Working through the Section President, CPC may request assistance in the investigation from an individual Section member, from an ad hoc committee of the Section, or from a standing committee of the Section. With any of these alternatives, CPC must stress the importance of confidentiality at all stages of the investigation to protect the rights of the principals involved.

In any such investigation, the individual or group conducting the investigation can do several things when specifically requested by CPC:

- Collect factual evidence, including documents, news clippings, correspondence, and statements. Documents can include records of court testimony and findings in legal actions.
- Conduct interviews with the principals involved.
- Report the results of the investigation to CPC through the Executive Director.

Beyond that the Section should not go. To do so may jeopardize the rights of the accused, or it may jeopardize the position of the Society and individual Society members with respect to possible libel actions initiated by the accused. Where Sections or individual Section members are in doubt about the propriety of a possible investigatory action, they should discuss the situation with a member of the national staff who is versed in professional conduct matters.

#### Video – “Ethics on Trial”

The mock hearing video, based on an actual professional conduct proceeding conducted by the Board of Direction, has been prepared for use as an educational tool by Sections, Branches, Student Chapters, universities, and other interested parties.

Available on a loan basis, free of charge, the standard  $\frac{3}{4}$  inch videotape consists of two parts: (1) a presentation of the ASCE Board of Direction receiving the professional conduct case data and evidence (50 minutes), and (2) a presentation showing the deliberations and results of the hearing (20 minutes). The two-part format provides an opportunity to review and discuss the Board's thinking and reactions before moving on to the Board's decision.

### Case Studies

Case studies have been developed from completed professional conduct investigations and proceedings for educational purposes – either in the classroom, or at meetings of Sections or Student Chapters. The names of the individuals, firms, and locations are changed, but these case studies are based upon actual situations, and are intended to provide general guidance in the identification and resolution of ethical problems.

### Confidential Ethics Advisory Service

Members with questions or potential problems about ethics, from dishonesty to conflicts of interest, can get confidential advice by telephoning ASCE headquarters.

A member in distress, or with a question, may call the Ethics Advisory Phone Line at 703.295.6061. Alternatives are:

- Referral to the member's own attorney
- Referral to CPC and the usual channels

ASCE's general counsel staffs the Ethics Advisory Phone Line but is not available to provide legal advice to individual members.

## APPENDIX 8

### HOW TO FORM A TECHNICAL GROUP OR INSTITUTE CHAPTER

An expanding area of Section activity has been the Technical Groups and Institute Chapters. These groups generally deal with a single specialized field of Civil Engineering and serve the needs and interests of the regional members. Any Section may form Technical Groups and/or Institute Chapters. Following is a recommended procedure to form such group or chapter:

1. Meet with your Section's Board of Directors requesting their initial approval and assistance in planning for the formation.
2. Members proposing to form the entity should get together to draft a set of bylaws and elect temporary officers to handle the formation, organization and initial operations of the entity. Submit a package to the Section's Board of Directors officially requesting the formation of the organization. This package should contain:
  - ❖ The organization name.
  - ❖ A brief statement of the organization's objectives, and some indication of how the new organization will be of advantage to the members.
  - ❖ A brief statement of the organization's officers (chair, secretary, etc.)
  - ❖ A list of current membership and some indication of the projected size of the organization.
3. The Section secretary shall notify Society Headquarters by letter when official action has been taken by the Section Board of Directors endorsing said formation. The notification shall contain the following information:
  - ❖ A statement indicating endorsement of the formation of the organization by the Section's Board of Directors.
  - ❖ The names and titles of the organization's officers and the current size and projected size of said organization.
  - ❖ A brief statement of the organization's objectives.
  - ❖ The proposed bylaws for the group.
  - ❖ A brief indication of the necessary revisions to the Section Constitution to officially encompass the Technical Group or Institute Chapter.
  - ❖ Any additional information which the Section may wish to submit to record the formation of the new organization.
4. The above actions are necessary to form the groups or chapters. Institute Chapters may require additional steps to officially form at the Section level. Interested Section members shall refer to the following link at ASCE to get information for Institute Chapters.  
[ftp://gsd.asce.org/GeographicServicesResources/Section\\_Branch\\_Resource\\_Document\\_s/](ftp://gsd.asce.org/GeographicServicesResources/Section_Branch_Resource_Document_s/) This link will provide information for the Memorandum of Understanding with the Institutes and provide sample by-laws for a new chapter.





## **ASCE Advocacy & the Key Contact Program**

*Are you interested in influencing the policy process? Helping ASCE to make its mark on legislation considered and passed in Congress and state legislatures?*

**ASCE Key Contacts do just that by developing relationships with elected officials.** By meeting and making contacts with their elected officials and/or their staff in several ways, they achieve true conversations about issues important to the profession. This eventually leads to becoming a trusted advisor to your elected leader when bills are drafted or considered.

*Ways to effectively influence your elected officials:*

- Meet with them face-to-face:
- In Washington, DC through ASCE's Legislative Fly-In
- In state capitals – check with your Section leadership to see if your state sponsors a "Drive-In" or Legislative Day at the state Capitol
- In a district office on a Back Home Visit
- At Town Hall Meetings – ask a question and discuss with staff at conclusion of meeting

Resources available at <http://www.asce.org/keycontacts> for civil engineers to learn about and participate in public policy at all levels:

- Review guides and tips for building relationships with elected officials
- Research legislation at the federal and state levels through online resources
- Write elected officials at federal and state levels using ASCE's Click & Connect with Congress advocacy website
- *New for 2015:* GR University – Half-day program customized for your Region or Section to get civil engineers started on influencing public policy at the state and federal levels.

For more information on becoming a Key Contact, visit <http://www.asce.org/keycontacts> or contact ASCE's Washington Office at [govwash@asce.org](mailto:govwash@asce.org) or 202-789-7850.

## **Legislative Fly-In**

*2015 Legislative Fly-In: March 24-26, 2015 at the Renaissance Capital View, Arlington, VA*

ASCE's Annual Legislative Fly-In, generally held in March in Washington, D.C., provides ASCE members with an opportunity to learn about public policy issues affecting the profession of civil engineering and how you can influence the public policy process. Any ASCE member is highly encouraged to attend this useful and informative event.

Applications will be available from November 2014 at <http://www.asce.org/keycontacts/>

## ***ACTION ITEMS***

### **15 Ways to Get Involved in ASCE's Government Relations Program**

1. **Join the Key Contact Program.** Set aside five minutes every Friday morning to read This Week in Washington and keep up with the latest civil engineering issues in Washington and your state capital.
2. **Recruit a fellow ASCE member to be a Key Contact.** There is no additional charge for ASCE members to participate.
3. **Familiarize yourself with ASCE's Priority Issues Agenda.** These issues are determined through an annual member survey and reflect the interests of the members. Knowing what they are is the first step in beginning a dialog with your elected officials.
4. **Respond to Key Alerts when you receive them.** You can write an email to your member of Congress or state lawmaker in a matter of minutes using ASCE's "Click & Connect with Congress" advocacy website. In just a few clicks of your mouse, your message will be on its way.
5. **Spend 15 minutes on your elected official's website.** You can learn a lot in a small amount of time. Look for opportunities to visit with your elected official when he or she is visiting your area, sign up to receive a newsletter, and learn about events in your community.
6. **Schedule a Back Home Visit with your Representative.**
7. **Bring a fellow ASCE member with you on your Back Home Visit.**
8. **Attend local events with your elected officials.** Many Representatives, Senators, as well as state and local officials list local events they plan to attend on their websites. Attend a Town Hall Meeting to engage your elected officials on local civil engineering issues. Contact ASCE's Government Relations office for assistance.
9. **Write opinion editorials on local civil engineering issues** for your local newspaper. Elected officials at all levels pay attention to local papers so this is a great way to raise awareness of an issue.
10. **Educate other members of your Section or Branch about the ASCE Government Relations Program** and how they can get involved in promoting the ASCE Priority Issues Agenda and the *Report Card for America's Infrastructure*.
11. **For Section & Branch leaders: Raise awareness of engineering public policy issues among your members by holding a voter registration drive.** Use the drive as a stepping stone to greater involvement for your Section or Branch.
12. **Make plans to attend ASCE's Legislative Fly-In Program.** This two-day event in Washington, D.C. provides intensive training on ASCE's priority issues and how to effectively communicate with your member of Congress. There is no registration cost to attend the training – attendees are responsible only for their travel expenses.
13. **Get your Section or Branch to sponsor a member's attendance at the Legislative Fly-In.** The attendee doesn't have to be the President or another officer. In fact, someone not in the leadership hierarchy might have more time to devote to the program and applying the knowledge at home.
14. **Organize your own legislative day in your state capitol.** ASCE Government Relations staff can provide assistance.
15. **Consider running for local elected office.** This is the best way to ensure that civil engineers are involved in decisions made at the federal, state and local levels.

## APPENDIX 10

### ROLES OF SECTION/BRANCH OFFICERS AND COMMITTEES

Officers working alone cannot devote the time or the effort necessary to the operation of an active Section/Branch. Section/Branch officers should have the active support of all its officers and directors as well as its standing committees.

#### Section/Branch Officers

**President:** The leader of the Section/Branch is the president. This individual must provide the direction and leadership of the organization. The president should be aware of Society Strategic Initiatives as well as the needs of the local members. Specific duties dealing with routine operation should be delegated to other elected officers.

Objectives are to sustain and increase Section momentum by:

- < Assuring the Section governing documents are followed.
- < Directing the implementation of the Section strategic plan.

The president coordinates with:

- < ASCE elected Society officers, headquarters staff, Society Directors, and Region Governors.
- < The presidents, chairs, or officers of professional and community organizations with which the Section jointly meets.

**President-elect:** The President-elect is in a unique and important position of planning and assisting with projects as well as planning for the upcoming year's activities. He/she should have a solid overall knowledge of the Section/Branch operations.

Objectives are to sustain and increase Section momentum by:

1. Monitoring the progress of calendar of events. Advise the president of strengths and weaknesses, and recommend a corrective action plan, if needed.
2. Determining the progress of committees in achieving goals. Advise the president of strengths and weaknesses, and recommend a corrective action plan, if needed.

**Vice President:** The Vice President acts as a sponge in order to soak up the overall atmosphere in order to assimilate the overall goals and objectives of the Section or Branch. Often the Vice President is called to take-on important specific projects that are important, such as fund-raising, increasing student involvement or liaison with local community and professional organizations.

## APPENDIX 10

Some smaller Sections or Branches combine the offices of **President-elect** and **Vice President**.

**Secretary:** The Secretary performs many essential functions of the Section/Branch. The Secretary normally maintains a file of the Section/Branch's membership, all records and correspondence, prepares and submits reports of Section activities, and notifies members of meetings.

**Treasurer:** The Treasurer receives funds due to the Section/Branch, pays bills, maintains a suitable repository for Section/Branch funds, and prepares regular financial reports.

**Past President:** The Past President serves at the pleasure of the President. Typical duties or functions of this person can include: nomination committee chair and/or member; special committee or task committee leader. Each Section or Branch should decide how to use this valuable resource effectively.

### STANDING COMMITTEES AND THEIR FUNCTIONS

The following are typical standing committees within a Section or Branch. More specific information on committees can be found in Appendix 5.

**Program Committee:** The primary purpose of the Program Committee is to plan for Section/Branch meeting and functions. They should be responsive to the needs of and desire of Section members and to engineering matters of interest to the public. This committee directly influences the vitality and effectiveness of the Section by promoting participation in activities and attendance at meetings.

**Membership Committee:** The Membership Committee should be large in number since its success depends on person-to-person contact between the Committee and large numbers of potential ASCE members and inactive present members. To be most effective, the Committee members should be acquainted with activities of ASCE, its publications and pamphlets, and with the procedure of applications, transfer and reinstatement of membership.

**Hospitality Committee:** The hospitality committee seeks to create an atmosphere of cordiality at functions and to impact to newcomer a sense of belonging to the group. It enhances the work of the membership Committee by greeting new members especially younger members and students, and introducing them to other members, officers and activities of the Section. It is sometimes organized as a subcommittee of the

## APPENDIX 10

Membership Committee. If not otherwise provided for, they may also act as hosts to guests and speakers.

**Public Information Committee:** The Public Information committee disseminates information on the activities of the Section. This information may be made available to the public via the press, radio, television, and speaking engagements. Membership should consist of individuals whose talents suit them to contact news media and express civil engineering activities in terms which are meaningful to the public.

**Awards and Prizes Committee:** The Committee on Awards and Prizes selects deserving local members, papers, and projects for receipt of awards and prizes. This committee is charged with the duty of considering all local, regional and national awards. The committee selections are usually final in the case of local awards and prizes, whereas their selection of local candidates for regional and national awards and prizes are placed in competition with other Sections.

**Nominating Committee:** The Nominating Committee has the responsibility of recognizing the qualities of leadership and devotion to the aims of ASCE in members of the Section and of nominating members possessing these qualities to office in the local organization. A collateral duty appropriate to the abilities of the committee is the selection of members as candidates for membership on national committees and promotion of candidates for national office.

**Newsletter Editor:** The Newsletter Editor's primary function is to publish the newsletter in order to keep the membership informed. It is the responsibility of the Newsletter Editor to maintain an up-dated distribution list. He or she is also responsible for submitting the Newsletter for consideration in the ASCE Newsletter Award competition.

## APPENDIX 10

### SECTION YEAR-END COMMITTEE REPORT

TO: [appropriate Section officer]

SUBMITTED BY: \_\_\_\_\_ Date \_\_\_\_\_  
(Officer) (Position)

COMMITTEE NAME: \_\_\_\_\_

#### COMMITTEE MEMBERS & POSITION:

Name	Position	Phone/Fax/E-mail	Willing to serve next year?
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LISTING OF COMMITTEE'S ACTIVITIES, EVENTS, MEETINGS, etc.: Please attach the following information if applicable: Meeting/Activity dates; Number of participants; Presenters; Awards presented; Photographs; Published articles; and any general comments to documents this year's results and provide guidance for next year's committee.

Did your committee award any profession development hour (PDH) certificates?

UPCOMING GOALS & OBJECTIVES. Please identify goals for the upcoming year.

SUGGESTIONS FOR NEXT YEAR:

# RULES OF POLICY AND PROCEDURE

Current as of October 2013


## Article 1. General

1.0 *Marks.* Marks of the Society include, but are not limited to, names, acronyms, emblems, logos, and trademarks of the Society and its Organizational Entities. Such marks are the sole and exclusive property of the Society and may not be altered or used without the Society's permission.

1.0.1 *Official Society Marks.* Official marks of the Society include, but are not limited to, those identified below, which are registered Society marks with the U.S. Patent and Trademark Office.

1.0.1.1 *Name.* The official name of the Society is the American Society of Civil Engineers®.

1.0.1.2 *Acronym.* The official acronym of the Society is ASCE®.

1.0.1.3 *Emblem.* The official emblem of the Society is ®.

1.0.1.4 *Logo.* The official logo of the Society is **ASCE**®.

1.0.1.5 *Other Society Marks.* The Society also maintains marks for the following: Academy of Geo-Professionals (AGP); American Academy of Water Resources Engineering (AAWRE); Architectural Engineering Institute (AEI); Civil Engineering (CE); Civil Engineering Certification, Inc. (CEC); Coasts, Oceans, Ports and Rivers Institute (COPRI); Construction Institute (CI); Engineering Mechanics Institute (EMI); Environmental & Water Resources Institute (EWRI); Excellence in Civil Engineering Education (ExCEED); Geo-Institute (GI); National Concrete Canoe Competition; Outstanding Projects and Leaders (OPAL); Ports; PMC; Report Card for America's Infrastructure; Solutions to Coastal Disasters; Structural Engineering Institute (SEI); and Transportation and Development Institute (T&DI).

1.0.2 *Development and Approval of Marks.* All Society marks, including those of Organizational Entities, shall be developed in accordance with Society policy relative to look and content. Society marks shall be approved by the Society's Executive Committee except that Foundation and Affiliated Entity marks shall be developed and approved in accordance with the entity's governing documents.

1.0.3 *Use.* The Society's marks may only be used for official Society purposes in the manner prescribed by the Society. The Society's marks may not be used in any manner that discredits or tarnishes the Society's reputation or goodwill; is false or misleading; violates any law, regulation or public policy; or misrepresents the relationship between the Society and the user, including any use that might incorrectly be construed as an endorsement, sponsorship or approval by the Society.

1.0.3.1 *Society Use of Marks.* For the Society and its Organizational Entities, examples of permissible uses of Society marks include official: badges, charms, pins, placards, banners, awards, certificates, Society publications and Web site, reports, stationery, programs, identification cards, and apparel. The design of badges, charms, and pins denoting membership in the Society, as well as the cost to the Society members, of such badges, charms, or pins, shall be determined by the Executive Director. The Society's marks may not be used for personal or business use by members or others on items such as stationery and business

cards, Web sites and other electronic media for either individuals or companies, except as expressly provided herein or as otherwise authorized by the Executive Director.

1.0.3.2 *Member Use of Marks.* A Society member may use the following applicable abbreviation denoting grade of membership in connection with professional work, but must discontinue use in the event of separation from the Society.

President-Emeritus – Pres.YY.ASCE  
Distinguished Member – Dist.M.ASCE  
Fellow – F.ASCE  
Member – M.ASCE  
Associate Member – A.M.ASCE  
Student Member – S.M.ASCE  
Affiliate Member – Aff.M.ASCE

Members may use the marks of Organizational Entities as defined in the entity's governing documents.

1.0.3.2.1 *Distinguished Member Use of Marks.* A Society Distinguished Member may use the Distinguished Member Emblem on business cards and stationery.

1.0.3.2.2 *Fellow Use of Marks.* A Society Fellow may use the Fellow Emblem on business cards and stationery.





## **2014-15 Section Action Calendar**

### **2014**

<b>June 1</b>	Submissions are due for the Outstanding Section and Branch Web Award
<b>June 10</b>	Deadline for Section Dues Changes
<b>Sept. 1</b>	Section & Branch Leadership Reports Due
<b>Sept. 20</b>	Potential Governors Dinner in Reston
<b>Sept. 21-22</b>	Presidents and Governors Forum
<b>Oct. 7-11</b>	Annual Conference in Panama
<b>Oct. 30</b>	Nominations are due for the Outstanding Section/Branch Award
<b>Nov. 30</b>	Section Annual Reports are due

### **2015**

<b>Jan. 9-10</b>	Regions 1, 2, 4, & 5 Multi-Region Leadership Conference in Miami, FL
<b>Jan. 30-31</b>	Regions 3, 6, & 7 Multi-Region Leadership Conference in Houston, TX
<b>Feb. 20-21</b>	Regions 8 & 9 Multi-Region Leadership Conference in Bellevue, WA
<b>March 24-26</b>	ASCE Fly-In, Washington, DC

**APPENDIX 13**

The following order form is provided for convenience. It is recommended that prior to placing orders for any of the indicated products below, you should check with Geographic Services for the most up to date and current list and cost. Contact information is provided at the bottom of the form.

**GEOGRAPHIC SERVICES SUPPLY ORDER FORM**

ITEM	COST	QUANTITY	TOTAL
Standard ( blank) Certificates	\$ .50		\$
<b>ASCE Customized certificates</b>			
<b>01 - 10 certificates</b>	<b>\$ 3.00</b>		<b>\$</b>
<b>11 - 29 certificates</b>	<b>\$ 2.50</b>		<b>\$</b>
<b>30 + certificates</b>	<b>\$ 2.00</b>		<b>\$</b>
<b>Wooden Certificate Frames</b>	<b>\$ 26.50</b>		<b>\$</b>
<b>Past President Pins</b>	<b>\$ 17.00</b>		<b>\$</b>
<b>ASCE Podium Banners -- 2.5 X 3.5 ft.</b>	<b>\$150.00</b>		<b>\$</b>
<b>ASCE Banners – 5 x 7 ft.</b>	<b>\$187.00</b>		<b>\$</b>
		<b>SUBTOTAL</b>	<b>\$</b>
*Shipping charge will be determined by the actual FedEx shipping cost.		<b>Shipping &amp; Handling*</b>	<b>\$</b>
		<b>TOTAL</b>	<b>\$</b>

For Banner, Certificate and Past President Pin Orders, please complete the information below, or in the case of Certificate and Past President Pin Orders, please see the individual order forms on the FTP server.

**Name:**

\_\_\_\_\_

**Membership ID#                      First Name                      Last Name**

**Company/School:**

\_\_\_\_\_

**Address:**

\_\_\_\_\_

\_\_\_\_\_

**City**

\_\_\_\_\_

**State**

\_\_\_\_\_

**Zip**

## APPENDIX 13

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Date to be presented: \_\_\_\_\_

Enclosed is: \$ \_\_\_\_\_

☐ Check number \_\_\_\_\_

☐ Invoice

Credit Card ☐ MasterCard  
☐ Diners Club

☐ Discover

☐ Visa

☐ American Express

Card No. \_\_\_\_\_

Expiration Date: \_\_\_\_\_

\_\_\_\_\_  
Signature

Mail to: ASCE Geographic Services  
Attn: Carolina Albornoz  
1801 Alexander Bell Drive  
Reston, VA 20191-4400  
PHONE: 1-800-548-2723, Ext 6117  
[calbornoz@asce.org](mailto:calbornoz@asce.org)

GEOGRAPHIC SERVICES SUPPLIES ORDER FORM.DOCX  
September 2012

### **Joint Venture Policy**

In compliance with Internal Revenue Service guidelines for approval and management of any joint venture or similar agreement entered into by the American Society of Civil Engineers, \_\_\_\_\_ Section ("Section"), the Section Board of Directors adopts the following guidelines.

#### **Activities Subject to this Policy**

For the purposes of this policy, the term "Joint Venture" is defined as any arrangement, including contractual or more formal arrangements undertaken through a limited liability company, partnership, or other entity, through which the Section and another entity jointly undertake any activity or business venture, or otherwise agree to joint ownership of any asset. A Joint Venture may include both taxable and tax-exempt activities.

#### **Approval and Management of Joint Activities**

Before making any decision to participate in a Joint Venture, the Section will ensure that the Joint Venture furthers the Section's exempt purposes and the purposes of the American Society of Civil Engineers (ASCE) and will negotiate at arm's length contractual and other terms of participation that safeguard the Section's exemption from federal income tax. Such terms shall be in writing in the operating agreement of the Joint Venture and shall include the following minimum requirements:

- With respect to any whole joint venture (that is, a joint venture in which the Section contributes substantially *all* of its assets to the enterprise), the Section shall exercise control over the Joint Venture by holding fifty-one percent (51%) or more of the voting rights and/or veto power;
- With respect to any ancillary joint venture (that is, a joint venture to which a portion of the Section's resources are contributed), the Section would, at a minimum, maintain sole control over the tax-exempt activities of the Joint Venture and would have voting and ownership interests in the Joint Venture that are consistent with the Section's capital contributions;
- A requirement that any subsequent contract with the Section's partner in the Joint Venture be negotiated at arm's length and for fair market value;
- A requirement that the Joint Venture give priority to the Section's tax-exempt purposes over maximization of profit for the participants of the Joint Venture; and
- A prohibition on activities that would jeopardize the Section's tax-exempt status.

Where there is any question as to whether a particular Joint Venture may pose a risk to the Section's tax-exempt status, a decision to enter into such Joint Venture will be made only in consultation with ASCE's legal and/or tax counsel.

## APPENDIX 15

# AMERICAN SOCIETY OF CIVIL ENGINEERS SECTION RECORD RETENTION POLICY

### Objective

The objective of this Record Retention Policy for the American Society of Civil Engineers (the Society) is two-fold.

- 1.) First, the policy establishes a program to ensure that all records, including papers, files and other print or electronic data maintained by the Section, are retained for at least the minimum period required by state and federal laws and regulations, as set forth below.
- 2.) Second, the policy establishes a program to ensure that obsolete records are destroyed in a routine and orderly manner. This will minimize storage requirements as well as transfer costs due to changes in Section personnel.

### Unusual Circumstances

Records not otherwise subject to retention may need to be retained because of unusual circumstances, such as pending or threatened litigation or government investigation. Destruction of records **must** be stopped immediately upon anticipation or receipt of service of legal process for which such records may be relevant. If for any reason the Section finds that an unusual circumstance exists, the Section will notify ASCE's General Counsel immediately.

### Implementation

The (Secretary) of the \_\_\_\_\_ Section shall be responsible for maintaining and disposing of the Section's records in accordance with the timelines established herein. Upon expiration of the (Secretary's) term, he/she shall take whatever actions are appropriate to ensure a smooth transfer of Section records to his/her successor in office.

### Retention Schedule

The following list is intended to provide guidance as to the types of records required to be retained by the \_\_\_\_\_ Section and the duration for their retention. As legal requirements for document retention may vary from time to time, this schedule is subject to amendment based on the advice of recommendations of ASCE's legal counsel.

### **RECORD RETENTION SCHEDULE (as applicable)**

Legend: Y = years; P = permanent

#### **1) ACCOUNTING, FINANCE, & PAYROLL**

Annual fiscal report to ASCE	2Y
Budgets	2Y
Financial statements	7Y
Accounts receivable	7Y
Audits	7Y
Bank statements, checks	7Y
Bills & invoices submitted	7Y
State tax filings	15Y

## APPENDIX 15

### 2) CONFERENCES & CONTINUING EDUCATION

Conference materials (programs, handouts, brochures)	5Y
Registration files	5Y
Contracts	7Y after completed
Financial reports	7Y

### 3) CORPORATE/LEGAL ACTIVITIES

Board minutes	P
Constitution & Bylaws	P
Tax exemption records	P
Insurance policies	P
Contracts	7Y after completed
Lawsuit records/litigation	7Y after completed
Procedure manuals	Current

### 4) HISTORICAL DATA (recommended)

Committee minutes & agendas	P
Committee rosters	11Y

### 5) PERSONAL/HUMAN RESOURCES (as applicable)

Employee benefit documents (plans, contributions, claims)	P
Employee/personnel files (appraisals, actions)	P
Payroll records	7Y
Applicant records (resumes, etc.; not hired)	1Y
I-9 forms	3Y

### 6) PUBLICATIONS

Newsletters, e-News, etc.	2Y
Advertising records, invoices	5Y

### 7) OTHER RECORDS

General correspondence	3Y
Other records relating to professional activities	3Y

## **FRAUDULENT OR DISHONEST CONDUCT REPORTING**

The purpose of this policy is to make clear what the responsibilities of the \_\_\_\_\_ Section, American Society of Civil Engineers (“Section”), and its employees/volunteers are if an employee/volunteer reports dishonest or fraudulent conduct of another employee/volunteer.

The Section expects all staff and volunteers will conduct Section-related business with the highest standards of integrity and honesty, and in compliance with the ASCE Code of Ethics. All employees and volunteers are encouraged to report any possible fraudulent or dishonest conduct of another Section employee or volunteer. In doing so, the following guidelines apply:

1. Concerns about possible fraudulent or dishonest conduct may be reported to the Section President or Treasurer, or to the Society’s Executive Director, Chief Financial Officer, or General Counsel. The volunteer/employee may make such report anonymously.
2. If the concerns involve the above individuals or if the employee prefers otherwise, the employee may report the conduct to the ASCE President or the Chair of ASCE’s Audit Committee. These individuals’ names and contact information can be found in ASCE’s Official Register and on ASCE’s Internet.
3. ASCE will investigate any possible fraudulent or dishonest conduct by ASCE staff. Anyone found to have engaged in such conduct is subject to disciplinary action by ASCE and civil or criminal prosecution if warranted.
4. Complaints alleging a violation of the ASCE Code of Ethics shall be referred to ASCE’s Committee on Professional Conduct. Investigations of alleged research misconduct on any project receiving federal funds shall be handled in accordance with federal research misconduct policy.
5. Whenever possible, the Section will maintain the confidentiality of the individual reporting the dishonest or fraudulent conduct. However, identity may have to be disclosed to conduct the investigation, to comply with the law, or to provide accused individuals with their legal rights to a defense.
6. Individuals must exercise sound judgment to avoid baseless accusations, which include allegations made with reckless disregard for their truth or falsity. An individual who intentionally files a false report of misconduct will be subject to disciplinary action.

The \_\_\_\_\_ Section prohibits retaliation against any person for any conduct protected by law. If a Section employee believes they have been retaliated against for reporting fraudulent or dishonest conduct, they should file a written complaint to the same individuals listed above. A proven complaint of retaliation will result in the initiation of disciplinary action.

The right to protection against retaliation does not include immunity from any personal wrongdoing that is alleged and investigated.

This policy is not intended to prohibit managers or supervisors from taking action, including disciplinary action, in the usual scope of their duties and based on valid performance-related factors.