



Minutes of the Final Meeting 2005-2006 ASA Council

**Palais des Congrès de Montréal
Montréal, Quebec**

August 14, 2006

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Minutes of the Final Meeting of the 2005-2006 ASA Council

Monday, August 14, 2006
Palais des Congrès de Montréal
Montréal, Quebec

Officers Present: Cynthia Fuchs Epstein (President); Troy Duster (Past President); Frances Fox Piven (President-Elect); Franklin D. Wilson (Secretary); Lynn Smith-Lovin (Vice President); Bonnie Thornton Dill (Vice President-Elect); Caroline Hodges Persell (Immediate Past Vice President).

Members-at-Large Present: Rebecca G. Adams, Kathleen M. Blee, Eduardo Bonilla-Silva, Evelyn Nakano Glenn, Michele Lamont, Nan Lin, Ann Shola Orloff, Gay W. Seidman, Diane Vaughan, Bruce Western, Min Zhou.

Members Absent: Judith D. Auerbach.

Newly Elected Council Members Present (as observers): Rubén Rumbault, Mary Romero, Dalton Conley, Donald Tomaskovic-Devey, Douglas McAdam, Arne Kalleberg.

Staff Present: Janet Astner, Les Briggs, Karen Edwards, Lee Herring, Sally Hillsman, Carla Howery, Michael Murphy, Jean Shin, Roberta Spalter-Roth, Daniel Spar.

Guests Present: Trevini Kuchi, Rutgers University Social Science Librarian; Sally Wiemer, University of California, Santa Barbara Librarian.

1. Call to Order

ASA President Cynthia Fuchs Epstein called the fourth and final meeting of the 2005-2006 Council to order at 2:40 pm on Monday, August 14, 2006 in Room 519b of the Palais des Congrès de Montréal.

A. Introduction of New Members of Council

Those members recently elected to office were invited to attend this meeting of Council as observers prior to officially joining Council the next day. Epstein invited each person present to introduce themselves.

B. Approval of Agenda

Additions to and deletions from the agenda were invited but none were proposed. Epstein announced several amendments to the ordering of the agenda items to accommodate visitors and members who needed to leave early.

Members of Council voted unanimously to accept the agenda proposed for this meeting as revised.

C. Approval of Previous Meeting Minutes

Minutes of the mid-winter 2005-2006 Council meeting held in Washington, DC on February 4-5, 2006 were presented for Council review and approval. Three typographical errors were identified for correction.

Members of Council voted unanimously to approve the minutes of the February 4-5, 2006 with the three minor corrections noted.

Minutes of the Council telephone conference call meeting held on June 26, 2006, were also presented for review and approval. One typographical error was identified.

Members of Council voted unanimously to approve the minutes of the June 26, 2006 telephone conference call meeting with one correction noted.

2. Report of the President

Epstein reported that the Montreal meetings had been an overwhelming success despite initial turmoil regarding the location. The Program Committee spent a great deal of time reshaping the program each time the host city shifted but did so with great skill. In the end, Montreal was a perfect location for a meeting that focused on transgressing boundaries.

She also reported on what ASA had done in the immediate wake of hurricane Katrina nearly one year ago. This was important to the Association not just because of its immediate impact on individual members and departments, but because the research many members directly relates to disasters and their past and future scholarship is applicable to the evolving national crisis.

Members of Council expressed their appreciation to Epstein for her handling the both the Katrina aftermath and the uncertainty about the 2006 meeting location. Members acknowledged the difficulty of the meeting planning and applauded the final programmatic outcome.

3. Report of the President-Elect

President-Elect Frances Fox Piven reported that "Is Another World Possible?" will be the theme for the 2007 ASA Annual Meeting in New York City. There will be sessions on globalization and resistance to it, issues likely to be relevant to the 2008 election, the politics of disasters, and research focused on potential solutions to significant social problems in the United States and globally enmeshed.

4. Report of the Secretary

ASA Secretary Franklin Wilson presented updates from the July meeting of the Committee on the Executive Office and the Budget (EOB).

A. Review of Membership

After sustaining several decades of gradually declining membership, the Association has experienced an increase in membership each year since 2002. While the 2006 membership year will not close until September 30th, early indicators are that 2006 will once again see an increase in membership counts, possibly exceeding 14,000 that would mark the first time in more than 20 years that membership has reached that level. The percentage of members who join or renew online continues to grow with more than 75% of members renewing their 2006 membership online.

B. Review of Section Membership

Member participation in sections continues to be strong, setting new records each year since 2002. At the close of the 2005 membership year there were 23,120 section memberships, a substantial increase from 21,366 recorded at the close of 2004. The 2006 section participation has already surpassed the 2005 high mark.

C. Review of Journal Subscriptions

Secretary Wilson reported that as of mid-June, institutional subscriptions had declined by 2.0% compared to a year ago. *Social Psychology Quarterly* has suffered the steepest decline, although it is not appreciably higher than losses for other journals. It is anticipated that at year end there will be a modest decline in institutional subscriptions.

In response to comments received from library customers, a proposal to begin offering online-only subscriptions to library subscribers in 2007 will be considered separately by Council.

Wilson noted that the new "buy two, get all online free" offer first made to members in 2006 apparently has had an impact since every ASA journal is experiencing growth in member subscriptions, reversing previous decreases in member subscriptions. Member subscriptions to all journals except *Contemporary Sociology* and *Sociological Methodology* exceeded, in most cases significantly, the percentage increase in overall membership.

While *Contexts* experienced a decrease in the number of member subscriptions in 2005, 2006 member subscriptions to *Contexts* increased 14% compared to June 2005 totals. Subscription analyses continue to indicate that a significant proportion of new *Contexts* subscribers drop at least one other ASA journal when adding *Contexts*, although somewhat less so than in prior years. The data also show that ASR and CS continue to experience the most significant drops by members adding *Contexts*.

D. Revised 2006 Spivack Budget

During its February meeting, Council approved the activities and budget of the Sydney S. Spivack Program in Applied Social Research and Social Policy. In the interim, program staff has made adjustments to the program plans and budget based on the request by Council that the Executive Office conduct a program review the ASA public information program using consultants paid by Spivack funds. An updated plan for the 2006 Spivack Program, including the expenditure of an additional \$18,000, was reviewed by EOB at its July meeting and was unanimously approved.

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| <p>Council vote unanimously to approve the revised 2006 budget for the Spivack Program as presented.</p> |
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5. Report of the Executive Officer

President Epstein called upon Sally Hillsman, Executive Officer, to report on Executive Office activities.

A. Overview of the Staff and Year

Hillsman reported that Jean Shin has returned to the ASA as the Director of the Minority Affairs Program. Joining him in support of that program is Karina Havrilla, Program Assistant. At the end of August, Kevin Brown, Director of Information Services and Technology, will leave ASA to attend graduate school full-time. Johanna Ebner, Public Information Officer, will also be attending graduate school starting in the fall but will continue to work part time at ASA. Redante Ascusion-Reed has moved to a higher education association and has been replaced by Jill Campbell as the Production Manager. Openings for Program Assistants in the Academic and Professional Affairs Program and in the Governance and Sections Department will be filled following the annual meeting.

B. Update on Grant Support

Hillsman noted that the ASA Research and Development Department has applied for a new grant to the Alfred P. Sloan Foundation. The department is currently completing work on five additional grants from the National Science Foundation, the National Academies of Science, and the Ford Foundation.

C. Report on the 2006 ISA World Congress

The XVI International Sociological Association (ISA) World Congress of Sociology was held July 23-29, 2006, in Durban, South Africa around the theme *The Quality of Social*

Existence in a Globalizing World. As the National Association of the ISA for the United States, ASA played an active role in the Congress by sponsoring four sessions during the National Association section of the meeting. ASA President-Elect Frances Fox Piven prepared a session on "Sociology and Politics in a Globalizing World" and ASA President Cynthia Epstein prepared a session on "Breaking the Boundaries: Women's Rights and Access to Power in a Globalizing World." In addition, ASA Deputy Executive Officer Carla Howery developed two sessions on "The Scholarship of Teaching and Learning" that she organized with the British and South African sociological associations. As with previous ISA congresses, ASA applied to the National Science Foundation (NSF) for a travel grant to support international travel to the congress for U.S. sociologists. The grants were competitively awarded by the ASA.

D. Department Affiliates Program

Since its launch in 1994, the Department Affiliates Program has been a key element of the Association's collaboration with departments. Participation in 2006 is running ahead of prior years. The ASA website now features a portal for departments and chairs, providing an additional indicator of the ASA commitment to the importance of the department chair role. In addition, several listservs were launched during 2005 that provide for ongoing communication among chairs and directors of graduate education.

E. High School Affiliates Initiative

Launched in 2003, the High School initiative has recruited 18 high school affiliates to date. The Association continues to work to expand the number of affiliates and to develop a strong network of high school sociology/social science teachers.

F. Members Contributions and Donations

As part of the annual membership renewal process, members are offered the opportunity to contribute to several ASA programs, including the Minority Fellowship Program (MFP) and several other programs. Through mid-July 2006, contributions to these funds total \$27,226.

G. Honorary Reception Revenues

For more than two decades, the Association invites sociology departments to co-sponsor the annual Honorary Reception that follows the President's Address at the Annual Meeting. For the 2006 meeting in Canada, seven departments contributed \$2,050 in sponsorship for this event.

H. 2006 Election

Hillsman reported that of the 11,179 members eligible to vote, 40.39% cast votes in the 2006 election. Participation in the five elections prior to 2005 had averaged about 30%. In both 2005 and 2006, participation exceeded 40%. A key element of this increase has been the introduction of online voting as an option. In the 2006 election, 79% of members cast their votes online; fewer than 1,000 members still utilize the paper ballot for voting.

I. ASA Job Bank

The ASA launched its new online Job Bank in November 2005, a benefit that has been well-received by members. It is anticipated that the income from job listings posted online will be comparable to the income from job listings printed in the ASA Employment Bulletin (EB), which ceased publication in December 2005.

A comparison of income from employers posting job listings for the period January through May 2006 and 2005 shows that the online Job Bank has thus far exceeded EB. In addition, it is likely that free access to the online Job Bank is contributing to the growth in membership. Launch of the online Job Bank has provided an additional benefit by allowing individuals to register as candidates (with CVs accessible only by employers with current position listings).

Several enhancements have been made to the service over the first half of 2006, and additional enhancements are anticipated as we move toward 2007 and work to further incorporate the Annual Meeting Employment Service into the online Job Bank.

J. Executive Office Taxes and Lease

ASA's obligation to pay property taxes on its leased Executive Office space remains unresolved.

K. Science Policy Issues Update

In addition to the ongoing ASA public information efforts, Hillsman noted that ASA collaborates with other associations and interest groups on important public policy issues. Most recently, in response to an attempt by Senator Kay Bailey Hutchison to reduce or eliminate NSF funding for social science research, ASA worked closely with COSSA and others to counter this challenge.

There are presently many efforts in Congress to cut back on federal data systems that are important to sociological research. ASA has successfully tackled several of these efforts this year, including the Bureau of Labor Statistics (BLS) data set on women workers, and cuts in funding for the 2010 Census and the American Communities Survey (ACS).

6. Report on ASA Investments and Reserves

Secretary Wilson reported that EOB Investment Sub-committee met by conference call in mid-July to review the status and performance of the Association's long-term investments. As of July 14, 2006, the market value of ASA reserves was \$7,364,164. Subsequently the full EOB reviewed the information, including investment performance, the level of ASA reserves, and possible changes in strategies.

The ASA Investment Advisor has recommended investing a small portion of the portfolio (less than five percent) in real estate. Secretary Wilson reported that EOB affirmed its confidence in the current strategy and asset mix, directed the investment

advisor to continue the current management approach, and authorized him to add the real estate component.

7. Report of the Audit Committee

A. 2005 Year-End Financials

ASA Controller Les Briggs reported that the Association ended 2005 in good shape financially. Revenues in 2005 were higher than budgeted by \$165,000, and expenses were lower than budgeted by \$200,000, resulting in net revenues of approximately \$365,000 for 2005. He explained that generally revenues were higher across the board. Most expense areas were below budget, including expenses associated with the 2005 Annual Meeting which were \$86,000 lower than budgeted. Overall, actual expenses were approximately 4% below budget for the year. Council expressed their appreciation to ASA staff for their work in 2005 which produced these positive financial results for the Association.

B. Approval of 2005 Audit

Copies of the 2005 Independent Audit Report were circulated to all members of Council in advance of the meeting. Briggs reported that the auditors found the financial statements to be in conformity with generally accepted accounting principles and that the Association is in compliance with the requirements applicable to its federal grants programs.

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| <p>Council voted unanimously to accept the independent Audit report of 2005 financial records as presented.</p> |
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C. Internal Control Policies

Briggs explained that while the Sarbanes-Oxley legislation is aimed primarily at for-profit organizations, there are implications for not-for-profit organizations. Briggs presented three proposed policies for Council consideration, all in an effort to comply with Sarbanes-Oxley legislative requirements and the policies of the Internal Revenue Service.

The first policy on the reporting of unethical or illegal activity (what is commonly referred to as "whistle-blower" policies). This policy protects employees and others who raise concerns about possible unethical or illegal financial activity within the Association. It provides protection from any adverse employment action thereby encouraging the report of any suspect activity. It also establishes a mechanism by which complaints can be made. The full text of this policy is appended to this report (**Attachment 1**).

The second policy focused on the retention of financial documents. While the Association has a Document Retention Policy developed with the assistance of archivists at Pennsylvania State University (home of the ASA Archives), financial records have additional industry standards for retention. Briggs explained that

Sarbanes Oxley makes it illegal to destroy or alter any document to prevent its use in an official proceeding. This policy combines standard record retention guidelines with a series of more stringent retention procedures that must be followed during times of threatened or actual litigation. The text of this retention schedule is appended to this report (**Attachment 2**).

The final policy proposal focused on conflicts of interest. This policy requires the disclosure of any conflict of interest that could be deemed to influence decisions or result in the private benefit of any ASA elected official. The text of this disclosure policy is appended to this report (**Attachment 3**).

Members of Council asked several informational questions but expressed no objections to the proposed policies.

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| <p>Council voted unanimously to adopt the three policies recommended by the ASA Audit Committee and to implement these policies.</p> |
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8. Task Force Reports

A. Final Report of Task Force on Institutionalizing Public Sociology

Members of Council welcomed Philip Nyden, Chair of the Task Force on Institutionalizing Public Sociology, to the meeting. Nyden presented an update on the activities of this component and delivered a draft of the task force final report entitled "Public Sociology and the Roots of American Sociology: Re-establishing Our Connections to the Public."

Council devoted a substantial portion of the meeting to consideration of this issue. A primary recommendation of the task force called for Council to endorse proposed "Standards of Public Sociology: Guidelines for Use by Academic Departments in Personnel Reviews." While the task force believed that such standards were essential to helping faculty obtain credit for public sociology work, several members of Council questioned the move to publish standards on any subject. Other members argued that if ASA wanted to have any influence on what standards are used in tenure decisions, it was important to approve the standards proposed by the task force. Nyden reported that the standards were proposed as guidelines for any department that wished to use them and were not intended to be binding on any department.

Council deliberated on how best to review the proposed guidelines to allow for a more thorough discussion. Council decided to return to the issue at its next meeting, devoting discussion period on the evening prior to the start of the mid-year meeting to this subject.

Council voted to continue consideration of the “Standards of Public Sociology: Guidelines for Use by Academic Departments in Personnel Reviews” at its 2007 mid-year meeting.

Since the original term of the task force is expiring, Nyden proposed that the task force be renewed for an additional two years to allow it to continue to work on the standards and other issues identified in the task force recommendations.

Council voted unanimously to extend the tenure of the Task Force on Institutionalization of Public Sociology for an additional two years to expire no later than August 2008.

B. Final Report of Task Force on Sociology and General Education

The Task Force on Sociology and General Education was established last year to develop models and rationales for the various ways in which sociology courses contribute to general education requirements and liberal arts skills. The task force was asked to focus on six specific areas, including multicultural education/diversity, international/global issues, quantitative literacy, writing-intensive experiences, introductory freshman survey courses, and interdisciplinary freshman seminars.

Bruce Keith, Chair of the Task Force, reported that the task force has conducted sessions at the Annual Meeting as well as regional meetings to gather information. The task force has prepared a 54 page draft report, including six recommendations. Specifically, the task force recommended that Sociology departments should:

Recommendation 1: Contribute to a consensus about general educational goals, definitions, and what it is that undergraduates should learn in the general education curriculum, taking into account the institutional mission, type, size, and student characteristics.

Recommendation 2: Emphasize with examples the discipline’s important contributions to desired outcomes of student learning.

Recommendation 3: Develop curricula within the department and in the general education curriculum around a set of commonly understood, well-articulated set of learning outcomes.

Recommendation 4: Collect systematic assessment data, communicating these data to faculty, students, and appropriate publics to ensure that student performance is consistent with the general education learning goals.

Recommendation 5: Assist with strategies for systematic assessment of general education competencies and learning outcomes that are consistent with institutional and program goals.

Recommendation 6: Share their accomplishments in general education with the community of sociologists, at professional meetings, on the ASA website, and so forth, and include these questions in emerging scholarly work on teaching and learning.

On behalf of the task force, Keith requested approval of the preliminary task force report, with the understanding that they would polish the document for publication and distribution to chairs of departments.

Council voted unanimously to accept the preliminary report of the Task Force on Sociology and General Education, and to recommend its dissemination to Sociology departments.

9. Information Literacy Standards

The Association of College and Research Libraries (ACRL) is the main component within the American Library Association that deals with college and university issues. Within ACRL, there is an Anthropology and Sociology Section (ANSS), which is the focus of librarians with special responsibilities for social science collections. Carla Howery reported that she and Ed Kain, Southwestern University, had been invited to participate in the recent ANSS meetings to discuss draft standards for information literacy for sociology and anthropology students. She introduced the co-chairs of the Anthropology and Sociology Section, Trevini Kuchi, Rutgers University Social Science Librarian, and Sally Wiemer, librarian from the University of California - Santa Barbara, who urged Council support of the proposed guidelines.

Council voted unanimously to endorse the ANSS guidelines for information literacy in sociology in principle and to recommend that departments of sociology work with their library staff to consider their implementation in ways they find appropriate.

10. Report of ASA Awards Committee

Nan Lin reported that the Committee on Awards had met with chairs of the individual award selection committees, followed by a meeting of the Committee on Awards. Lin reported that all parties involved were quite satisfied with current practices. The Committee on Awards has decided to recommend that each award selection committee consider selecting a chair-elect to provide a clear succession of leadership.

Lin raised with Council the possibility of allowing publishers to submit nominations for the Distinguished Book Award, which is not currently allowed by ASA policy. Members of Council expressed differing points of view but took no action to change existing policy.

The Committee on Awards also recommended that the chair of each award selection committee be responsible for preparing a written annual report that would inform both the Committee on Awards and Council of the procedures followed by the committee, the number of nominations received, and other practices employed.

Council voted unanimously to approve the recommendation of the Committee on Awards that each award selection committee be required to submit a written annual report.

11. Report of Publications Committee

This item was deferred to the meeting of the 2006-2007 Council the following day.

12. Information Technology Report

Executive Officer Hillsman reported that each year one of the most popular services at the Annual Meeting is the Employment Service, which matches employers with job seekers. The 2006 Annual Meeting marked the launch of an entirely new approach to the Employment Service. As of this meeting, the system has been streamlined and modernized so that employers may post jobs, find candidates and schedule interviews online before they arrive on site. Candidates are able to post CVs and find prospective employers. Employers and candidates now may exchange e-mail messages regarding interviews times prior to arrival at the Annual Meeting.

In March, ASA replaced all desktop computers at the Executive Office. Most of the computers in use at the office were over five years old and had reached or exceeded their lifecycle. Deployment of the new computers occurred over one weekend in March so that all staff were immediately able to utilize their computers on the first business day following the deployment. At the same time, the operating system and application software were upgraded.

Over recently months, staff have also worked with vendors to develop and implement discussion forum technology on the ASA website (see separate report in minutes of August 15, 2006 Council meeting).

13. Follow-Up Business

A. Member Dues Structure

This item was deferred to the meeting of the 2006-2007 Council the following day.

B. INMEX

This item was deferred to the meeting of the 2006-2007 Council the following day.

C. ASA Public Information Program

At the last regularly scheduled Council meeting in February, members expressed a strong interest in possible enhancements and expansion of the ASA Public Information Program. A key part of the mission of the Association is to promote the contributions and use of sociology to society. In keeping with this portion of the mission, some Council members had suggested an increased effort to ensure that sociological research and scholarship reach the public, decision makers and policy makers.

In an effort to identify options, the Executive Office contracted with The Hatcher Group, a DC-based full-service communications and public policy firm that works to help not-for-profit organizations improve their communication with the media, public and policy makers. Ed Hatcher, the firm's President, conducted an audit of ASA public information activities and efforts and joined Council to review his findings and propose several recommendations.

Hatcher reviewed his findings with Council and outlined a number of possible areas for further attention, several focusing on the Association's website and structuring information for a variety of audiences. Hatcher presented a number of examples of how other Associations present information. Members of Council asked several questions and thanked Hatcher for his presentation.

D. Health of Sociology Booklet for Departments

This item was deferred to the meeting of the 2006-2007 Council the following day.

14. Adjournment

The final meeting of the 2005-2006 ASA Council was adjourned at 6:40 pm. Members expressed their appreciation to President Cynthia Epstein for her leadership over the course of the last year, especially in light of the early uncertainty of the Annual Meeting location. Due to the length of discussion on some items during the meeting, several issues were held over for consideration the next day during the first meeting of 2006-2007 Council on August 15th.

Attachment 1

**REPORTING UNETHICAL OR ILLEGAL
ACTIVITY AT ASA**

The American Sociological Association requires its officers, employees, members of Bylaws committees, and other elected or appointed member volunteers to observe high ethical standards in the conduct of their duties and responsibilities. ASA encourages members of Bylaws committees, officers, employees, elected or appointed member volunteers, partners, vendors, clients and other interested parties to report concerns about misconduct or suspected violations of law or of ASA policy in accordance with this "Reporting Unethical or Illegal Activity at ASA" policy (the "Policy"). The Policy is intended to encourage and enable employees and others to raise serious concerns within ASA prior to seeking resolution outside ASA.

The matters that should be reported under this Policy include suspected fraud, theft, embezzlement, accounting or auditing irregularities, bribery, kickbacks, misuse of ASA assets or government funds or suspected regulatory, compliance, or ethics-related issues, concerns or violations. For example, if you suspect that a ASA employee has a conflict of interest that he or she is not disclosing, you have identified an ethical problem, and you should use the steps outlined in this Policy to report the activity.

The Policy is not a vehicle for reporting violations of ASA's human resources policies, problems with co-workers or managers, or issues related to alleged employment discrimination or sexual or any other form of unlawful harassment, all of which should be dealt with in accordance with other policies and procedures as set forth in ASA's Personnel Manual.

Who should report unethical or illegal activity under the Policy?

It is the responsibility of all members of Bylaws committees, officers, employees, and other elected or appointment member volunteers to report violations or suspected violations of legal requirements and/or ASA's ethical standards in accordance with the Policy.

How do I know that I won't be retaliated against for reporting unethical or illegal activity?

It is illegal for ASA to take adverse employment action against any employee who, in good faith, reports a concern about misconduct. ASA also prohibits any harassment or retaliation against any trustee, officer, employee, elected or appointed member volunteer who makes such a report, so long as the individual making the report has reasonable grounds for believing the information disclosed may indicate a violation of law or ASA policy. This prohibition applies whether or not the allegations prove warranted. In addition, ASA will take appropriate adverse employment action against

any employee who harasses or retaliates against someone who has reported a violation in good faith.

However, if a complainant makes allegations knowing them to be false, ASA will consider this action to be a serious offense. It may take disciplinary action, up to and including termination of employment, against any employee who deliberately makes baseless allegations.

Who is responsible for the Policy?

ASA's Council has adopted the Policy, and must approve any changes to the Policy or its implementing procedures.

ASA has a Complaint Committee (the "Committee"), which consists of the Director of Operations and Meeting Services and the Controller. If the complaint deals with the conduct of the Director of Operations and Meeting Services or the Controller, the person who is the subject of the complaint will recuse himself or herself from the Committee. If the complaint deals with the conduct of ASA's Executive Officer, both the Director of Operations and Meeting Services and the Controller will recuse themselves from the Committee. If any members of the Committee recuse themselves, the Secretary as Chair of the Committee on the Executive Office and Budget (EOB) will select one or more members of the EOB Committee and/or himself or herself to join the Committee.

The Committee will implement this policy. Questions, concerns, suggestions or complaints about the types of conduct that are covered by the Policy should be addressed directly to any member of the Committee. Questions, concerns, or complaints regarding how the Committee is implementing the Policy should first be addressed to any Committee member. Then, if the question, concern, or complaint about implementation is not addressed to the satisfaction of the person posing it, he or she should address it to the Chair of the EOB Committee.

How do I make a complaint if I believe that unethical or illegal activities are happening?

You may make a complaint in one of two ways:

- a) You may make a report in person, by telephone, by e-mail or in writing to the ASA Director of Operations and Meeting Services or Controller; or
- b) If your complaint involves the ASA Director of Operations and Meeting Services or Controller, or the ASA Executive Officer, you may contact the ASA Secretary who is Chair of the EOB Committee.

In order to enable serious consideration and investigation, all complaints should be submitted with as much information as possible.

Who is responsible for handling my complaint?

Responsibility for the receipt, retention, investigation and resolution of all reported complaints lies with the Committee. It will be the Committee's responsibility to keep all complaints and investigations confidential to the extent possible while accomplishing a thorough review and resolution of the complaint.

The Committee shall address **all** reported concerns or complaints regarding **corporate accounting practices, internal controls or auditing** brought to its attention. A member of the Committee who receives a complaint shall immediately notify the EOB Committee of any such complaint and, if members of the EOB Committee are not directly involved in investigating and addressing the complaint, the Committee shall keep the EOB Committee informed about the investigation of the complaint and how the complaint is being addressed, until the matter is resolved.

The Director of Operations and Meeting Services will oversee all aspects of the investigation. If she or he has recused herself or himself, the Chair of the EOB Committee shall designate himself or herself or a member of the EOB Committee to oversee all aspects of the investigation.

Will you keep my identity confidential, if I make a complaint?

Anyone who reports unethical or illegal behavior may request that his or her identity be held in confidence. Reasonable efforts will be made to honor such a request, to the extent that it is consistent with ASA's need to conduct an adequate investigation and to take appropriate corrective action.

May I make an anonymous complaint?

If you wish to make an anonymous complaint, you may do so, but it may be quite difficult for the Complaint Committee to gather sufficient information to properly investigate any complaint that is made anonymously. Therefore, we encourage any person wishing to make a complaint to do so in a way that allows us to follow up with you to ask for additional facts and information about your complaint.

What will happen when the investigation is completed?

The Director of Operations and Meeting Services will determine whether the complaint has been substantiated. She or he, along with the ASA Executive Officer, will have discretion to determine whether any action, including disciplinary action, should be taken and if so, what it should be. If the Director of Operations and Meeting Services has recused herself or himself, the Executive Officer will determine the appropriate action, if any. However, if the complaint deals with the Executive Officer, Council will determine the appropriate action, if any, upon recommendation from the EOB.

The same person who made the decision about whether any action should be taken shall follow up with the individual who made the complaint to discuss the investigation. That person shall exercise discretion over the nature and extent of any details that are disclosed to the complainant.

How will complaints be reported to the ASA Executive Officer, the EOB Committee, and Council?

The Committee will compile a complaint database to which only the Committee has access, which will include the time, date, and nature of each report, the information reported by the complainant, some information about the investigation conducted, and the eventual resolution of the issue. The Committee will provide a periodic report to the ASA Executive Officer and the EOB Committee regarding the nature and resolution of each complaint received.

The Committee annually will report to EOB statistical information about the kinds of complaints received and their resolution. EOB may, from time to time, request an evaluation of the complaint reporting procedure.

Will complaints be used to make changes to any other ASA policies and procedures?

The Committee will periodically review the policy, procedures, and effectiveness of the complaint mechanism. The Committee will propose to the ASA Executive Officer any changes to **other** ASA policies or practices based on issues that the use of the complaint procedure brings to its attention.

Attachment 2

DOCUMENT RETENTION AND DESTRUCTION POLICY FOR THE ASA

While following applicable policies of the ASA for the permanent archiving of certain organizational materials, each employee may determine his or her own reasonable schedule for the periodic destruction of written files, electronic files, and voicemail, except in **three types of situations**:

- a) a contract, grant, or agreement that funds his or her work provides document retention and destruction guidelines that govern the document; or
- b) the document is of a type that is listed in the chart below ("Listed Items"), which must be retained for at least the number of years indicated; or
- c) there is a current threat of litigation against ASA.

In addition to these three requirements, some of the special document destruction and retention rules that govern research conducted by ASA can be found in the Research Department Storage Protocol. As outlined in that protocol, Principal Investigators and the ASA Controller are responsible for keeping track of the document retention and destruction timelines applicable to their work.

Whenever there is a current threat of litigation, the ASA Executive Officer with advice of counsel will instruct any employee who is likely to possess knowledge or information about the subject matter of the litigation not to alter or destroy any related document in his or her possession until the matter is resolved. Each affected employee will be notified again when the threat of litigation has passed, and at that time he or she may continue to destroy non-Listed Items as he or she sees fit, subject to the provisions outlined above.

Any questions or concerns about this policy should be directed to the ASA Executive Officer.

| Listed Items¹ | Retention Period |
|---------------------------------------------------------------------------|-------------------------|
| Bank Statements & Reconciliations | 7 Years |
| Cancelled Checks - (purchases of property, tax payments, large contracts) | Permanent |
| Cancelled Checks - (ordinary) | 7 Years |
| Cash Books | Permanent |
| Cash Receipts and Disbursements | 7 Years |
| Construction Documents | Permanent |

¹ Note that ASA does not currently have all of these document types; an overbroad list is provided here to encompass document types that ASA has now, or may have in the future.

| | |
|-------------------------------------------------------------------------|---------------------------------------|
| Contracts and Leases | Until Expiration, Plus 7 Years |
| Corporate - Certificate of Incorporation, Bylaws and Related Documents | Permanent |
| Corporate - Minutes of Board & Committee Meetings | Permanent |
| Correspondence not fitting into any other category | 3 Years |
| Duplicate Bank Deposit Slips | 3 Years |
| Employee Assignments and Garnishments | 7 Years |
| Employee Benefit Plan Documents other than Retirement & Pension Records | Until Termination, Plus 7 Years |
| Employee Payroll Records | 7 Years |
| Employee Payroll Reports (Federal, State or City Government) | 7 Years |
| Employee Personnel Records | Until Termination, Plus 7 Years |
| Employee Retirement & Pension Records | Permanent |
| Employee Timesheets | 7 Years |
| Employee Workers' Compensation Documents | 11 years |
| Employment Applications (People Considered, But Not Hired) | 2 Years |
| Finance - Accounts Payable Ledgers and Schedules | 7 Years |
| Finance - Accounts Receivable Ledgers and Schedules | 7 Years |
| Finance - Audit Reports of Independent Accountants | Permanent |
| Finance - Chart of Accounts | Permanent |
| Finance - Depreciation Schedules | Permanent |
| Finance - Expense Analyses & Distribution Schedules | 7 Years |
| Finance - Financial Statements (including Trial Balances) | Permanent |
| Finance - Fixed Asset Records & Appraisals | Permanent |
| Finance - General Ledgers | Permanent |
| Finance - Subsidiary Ledgers | Permanent |
| Finance - Tax Return and Form 990 Worksheets | 7 Years |
| Finance - Tax Returns, including Forms 990 | Permanent |
| Finance - Uncollectable Accounts & Write-offs | 7 Years |
| Finance - W-2 / W-4 / 1099 Forms | 7 Years |
| Grant Inquiries and Records Supporting Grants | 7 Years |
| Insurance - Accident Reports and Claims (Current or Settled Cases) | Permanent |
| Insurance - Policies (Current or Expired) | Permanent |
| Inventories | 7 Years |
| Invoices from Vendors | 7 Years |
| Invoices to Customers | 7 Years |
| Lobbying Expense Checks and Receipts Over \$50 | 3 Years |
| Notes Receivable Ledgers | 7 Years |
| Paid Bills & Vouchers | 7 Years |

| | |
|-----------------------------------------------------|-----------|
| Patents & Related Papers | Permanent |
| Physical Inventory Tags | 7 Years |
| Property Appraisals | Permanent |
| Property Documents - Deeds, Mortgages | Permanent |
| Stock and Bond Records and Certificates | Permanent |
| Vendor Payment Request Forms & Supporting Documents | 7 Years |
| Voucher Registers & Schedules | 7 Years |

Attachment 3

CONFLICT OF INTEREST POLICY OF THE ASA

Article I – Purpose

The purpose of the conflict of interest policy is to protect the interests of the American Sociological Association (“ASA”) when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an ASA officer, member of a Bylaws committee, or other elected or appointed member volunteer, might benefit the interest of another organization to which that officer or member volunteer also owes a duty of loyalty, or might result in what the IRS calls an “excess benefit” transaction (where an individual or entity is receiving more benefit from ASA than is reasonable under the circumstances of the transaction or arrangement).

The IRS currently recommends that all tax-exempt organizations adopt a conflict of interest policy that addresses direct financial conflicts (for example, if the organization was considering buying a piece of real estate that was owned by one of its board members). At ASA, we seldom encounter this type of conflict. However, another type of potential conflict, in which a member of an organization’s board is also on the board of another organization with similar goals, projects, funders, or constituencies, more likely at ASA. Therefore, both “financial” and “positional” conflicts, as defined below, are addressed by this policy. This policy is intended to supplement, but not to replace, any state and federal laws governing conflicts of interest that are applicable to nonprofit and charitable organizations. This policy also supplements the *American Sociological Association Code of Ethics* to which all ASA members and staff must adhere.

Article II – Definitions

1. Interested Person

Any elected or appointed member volunteer or officer who has a direct or indirect **financial** or **positional** interest, as defined below, is an interested person.

2. Financial Interest

A person has a financial interest if the person, or a member of his or her immediate family, or a business or investment over which he or she has control:

- a) owns, contemplates owning, has invested in, or contemplates investing in, an entity with which ASA has, or with which ASA is negotiating, a transaction or arrangement; or
- b) has an existing or potential compensation arrangement with:
 - i) ASA; or

- ii) an entity or individual with whom ASA has, or with whom ASA is negotiating, a transaction or arrangement.

Compensation, as used above, includes direct and indirect remuneration as well as gifts or favors that are not insubstantial. Ownership and investment, as used above, do not include ownership or investment of less than five percent of the entity's total value.

3. Positional Interest

A person has a positional interest if the person has, through business or family relationships, or through service on another corporate board (whether for-profit or nonprofit):

- a) a duty of loyalty to another entity that does work related to ASA's work; or
- b) the potential to use confidential or privileged information about ASA projects, plans, or programs in a way that would divert opportunities, including publicity or prestige, away from ASA; or
- c) a duty of loyalty to an individual or entity which has an interest in a lawsuit, contract dispute, or other matter which is or might become adverse to ASA's interest.

Members of the ASA Council and the Committee on the Executive Office and Budget (EOB) may serve on the boards of other organizations that work in areas that ASA works or might work. In some cases, these corporations will have joint transactions or arrangements with ASA, or may have competing goals or interests with ASA, or both. **Each ASA officer and member of Council and EOB who serves simultaneously in that position and on the board of another nonprofit organization that does ASA-related work should be aware of potential or actual conflicts of interest.**

4. Potential Conflicts and Actual Conflicts

Financial and positional interests do not necessarily create a conflict of interest. A financial or positional interest that a member of Council or EOB discloses may or may not be adverse to ASA's interest, and therefore constitutes merely a "potential" conflict, unless and until a majority of the non-interested members of Council (or a committee thereof that is delegated the power to investigate conflicts of interest under Article III, Section 3.b. of this policy) determines under Article III, Section 2 of this policy that there is an actual conflict of interest.

Article III – Procedures

1. Duty to Disclose

a. Duty to Disclose Financial Interests

In connection with any actual or potential financial conflict of interest, an interested person must disclose the existence of the interest whenever a transaction or arrangement is under consideration that would pose an actual or potential conflict, and be given the opportunity to disclose all material facts to Council, EOB or

members of a Council committee set forth to consider the proposed transaction or arrangement.

b. Duty to Disclose Positional Interests

Because the overlap in board positions is generally of mutual benefit to ASA and other organizations, there is ordinarily no conflict of interest arising from mere membership on one of these other boards. Therefore, once a member of Council or EOB discloses his or her membership on another nonprofit board that does work related to ASA's (whether that disclosure occurs upon his or her election to Council, upon his or her joining the board of another organization that poses potential conflicts of interest, or in an annual statement of conflicts of interest), ASA Council and EROB members will not have to subsequently disclose each instance in which a potential conflict arises from that board membership. However, if a member believes that there is an actual conflict that arises from a particular action that Council or EOB is contemplating, he or she should again disclose that conflict to Council or EOB, by announcing the conflict to Council or EOB when the transaction or arrangement is under consideration.

2. Determining Whether an Actual Conflict of Interest Exists

After he or she discloses the interest and all material facts, and after Council or EOB has any discussion about the potential conflict of interest with the person making the disclosure, the interested person shall leave the Council, EOB or committee meeting while the remaining members discuss the issue and then vote on whether there is an actual conflict of interest.

3. Procedures for Addressing the Conflict of Interest

a. If Council, EOB or the committee has determined that an actual conflict of interest exists, an interested person may make a presentation at the Council, EOB or committee meeting, but after the presentation, he or she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the actual conflict of interest.

b. The chairperson of Council, EOB or of the applicable committee shall, if he or she deems it appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.

c. After alternatives have been examined and discussed, Council, EOB or the committee shall, in the case of a financial conflict of interest, determine whether ASA can obtain, with reasonable efforts, a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest. In the case of a positional conflict of interest, Council, EOB or the committee shall determine whether it is in ASA's best interest to work with the organization with which the ASA officer, member of a Bylaws committee, or other elected or appointed member volunteer has the positional conflict of interest.

d. In either case, Council, EOB or the committee shall determine by a majority vote of the disinterested members whether the transaction, arrangement, project or undertaking is in ASA's best interest and for ASA's benefit, and whether it is fair and reasonable. In conformity with the above determination, Council, EOB or the

committee shall make its decision as to whether to enter into the transaction or arrangement, or to participate in the project or undertaking.

4. Violations of the Conflict of Interest Policy

a. If Council, EOB or the committee has reasonable cause to believe a member or officer has failed to disclose an actual or potential conflict of interest, it shall inform the member of the basis for such belief and afford the ASA officer, member of a Bylaws committee, or other elected or appointed member volunteer an opportunity to explain the alleged failure to disclose.

b. If, after hearing the individual's response and after making further investigation as warranted by the circumstances, Council, EOB or the committee determines the member or officer has failed to disclose an actual or possible conflict of interest, it shall take action as deemed appropriate by a vote of Council or EOB.

Article IV – Records of Proceedings

The minutes of Council, EOB and all their committees shall contain:

- a. The names of the persons who disclosed or otherwise were found to have an actual or potential financial or positional conflict of interest, the nature of the financial or positional interest, any action taken to determine whether a conflict of interest existed, and Council's, EOB's or the committee's decision as to whether a conflict of interest in fact existed.
- b. The names of the persons who were present for discussions and for votes relating to the transaction or arrangement, and a record of any votes taken in connection with the proceedings.

Article V – Compensation

A voting member of Council or EOB who receives compensation, directly or indirectly, from ASA for services is precluded from voting on matters pertaining to his or her compensation, but is allowed to provide information to any committee regarding compensation.

Article VI – Annual Statements

Each Member of Council, EOB and officers at the beginning of his or her term of office shall sign a statement which affirms that he or she:

- a. has received a copy of this conflict of interest policy;
- b. has read and understands the policy;
- c. has agreed to comply with the policy; and
- d. understands ASA is a charitable organization and in order to maintain its federal tax exemption must engage primarily in business activities which accomplish one or more of its tax-exempt purposes.