



**American
Accounting
Association**

Thought Leaders in
Accounting

Council Member Orientation Manual

(2021)

Table of Contents

Welcome & Overview – p. 3

AAA Strategy

- Strategic Direction
 - Vision – p. 4
 - Mission – p. 5
 - Shared Values – p. 6
- The AAA and Diversity, Equity, and Inclusion – p. 7-8
- Sustainability Mindset: Profitability & Strategic Initiatives for the Future – p. 9-12
 - Sustaining Impact
 - Strategies for Financial Sustainability
 - New Activity Approval Process – p. 14-17
 - Initial Proposal Submission Form: Round 1 – p. 18-20
 - Updated Initial Proposal Submission Form: Round 1B – p. 21-23
 - Expanded Proposal Form: Round 2 – p. 24-26

Governance Structure

- Governance – p. 27-28
- The Importance of Your Role as a Council Member – p. 29
- Key Roles and Responsibilities – p. 30-31
- Minutes, meetings – p. 32
- Committees and Task Forces – p. 33
- Finance – p. 34
- Risk Management – p. 35
- History of the AAA – p. 36

AAA Operational Structures

- Regions – p. 38
- Sections – p. 39-40
- Publications – p. 41-42

Appendix

- Calendar – p. 43
- Council Chair Roles & Responsibilities – p. 44
- Council Committee charges – p. 45
- Council Policies – p. 46-64

Each section gives a description of the area listed above, as well as links to various supporting documents found on the AAA website.

Welcome!

Welcome to the AAA Council. We appreciate your willingness to serve. Our Association fills an important need in our community, and we believe that you will find serving on Council to be a rich and rewarding experience.

As per the AAA Bylaws, Council shall assist the Board of Directors in governance of the Association. The functions of the Council shall be in part advisory, and in part decision making, with the day-to-day decisions made by the President, the Executive Director, and the Board of Directors. Council members begin their term at the conclusion of the Annual Meeting of the Association. This manual will help you understand your rights and responsibilities as a Council member so that you can effectively carry out these duties. We encourage you to refer to it whenever you have questions about your Council service.

Before you begin reviewing this manual, you should remember that you are not alone. When exercising your responsibilities, you may draw from the expertise of your fellow Council Members and Management. In addition, you may rely on the expertise of individuals retained by our Association to assist. These individuals include our legal counsel and independent auditors.

This Manual is broken down into three main parts, and an appendix:

- **AAA Strategy:**
 - Here you will find information about the overall *Strategic Direction* of the AAA (Mission, Vision, and Shared Values), as well as the AAA's work on the *Sustainability Mindset: Profitability & Strategic Initiatives for the Future*.
- **Governance Structure:**
 - In this section, you will find information about your specific role as a Council Member, and the AAA's governance structure (meetings, committees, risk management, and the history of the AAA).
- **Operational Structure:**
 - This section covers the AAA's Sections and Regions, as well as Publications.
- **Appendix:**
 - This final section includes a timeline of events throughout the year, committee charges, and Council policies.

The AAA Professional Staff is also available to assist with any questions. Please feel free to contact the Governance & Operations Team of the AAA Professional staff:

Barbara Gutierrez – Governance Manager

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Nancy Maciag – Communications Manager

Email: nancy@aaahq.org Phone: 941-556-4131



American Accounting Association Vision and Mission Statements

Our Vision and Mission

Our Vision is to be *Thought Leaders in Accounting*; building on established strengths and developing new tools and approaches that expand our contributions to addressing key issues for accounting scholarship, education, and practice. Bringing accounting disciplinary perspectives to bear on critical areas of risk and opportunity in today's economy and society.

To achieve our Vision to be *Thought Leaders in Accounting*, we need to focus on:



Our Mission:

To further the discipline and profession of accounting through education, research, and service

We accomplish our mission through the following:

Expanding
Knowledge
and Idea
Development

Promoting
Effective
Learning

Informing and
Influencing
Policy &
Practice

Advancing
Faculty
Careers



American Accounting Association Shared Values

Approved by AAA Board of Directors and Council – 2015

Knowledge

- We champion the creation, acquisition, and dissemination of knowledge for the advancement of accounting and purposefully integrate research, education, practice, and the public interest.

Integrity

- We uphold the trust society places in the accounting profession and the academy with accountability, transparency, and the highest ethical standards.

Community

- We affirm collaboration, inclusiveness, candor, trust, and mutual respect in all our actions.

Excellence

- We expect excellence in all we undertake.

Innovation

- We continuously improve and transform our organization, practices, and contributions to society.

Prosperous Society

- We support a prosperous society by contributing to informed decisions at the individual, firm, local, national, and global levels.

The AAA and Diversity, Equity, and Inclusion (DEI)

The AAA issued a statement (see below) in the aftermath of the George Floyd killing, as did many organizations. This statement affirms that we must and will become an organization that enhances its efforts to attract, develop and retain a more diverse membership especially as it relates to Black/African Americans, Latinx/Hispanic-Americans, and Native Americans. These efforts will provide great benefit to the accounting academy and profession.

AAA Statement on Racism and Equity

In the wake of the brutal killings of George Floyd, Breonna Taylor, Ahmaud Arbery and countless others, we acknowledge the pain and suffering resulting from these events. As leaders of the American Accounting Association, we stand in solidarity with the victims of police brutality, their families, friends, and all those opposed to racism, violence, and inequality.

We acknowledge that these events are not isolated. They are examples of a larger system of social, economic, and academic injustice that marginalizes and dehumanizes individuals based solely on the color of their skin.

We pledge to renew our commitment to affirming collaboration, inclusiveness, trust, and mutual respect to elevate the voices of those who are silenced in our community, and to stand together to encourage and affect change and bring equity to the experience of Black/African-Americans, Latinx/Hispanic-Americans, Native Americans, and all people of color in the academy, the larger profession of accounting, and across our nation and world.

On behalf of the American Accounting Association

Terry Shevlin, President

Elaine Mauldin, President-Elect

Marc Rubin, Past-President

Bob Allen, President-Elect Elect

To accomplish these goals, the DEI Task Force was created to provide a draft set of recommendations to the Board of Directors and AAA CEO. These recommendations were presented to the Board at the March 2021 Meeting and addressed the following items:

1. How other organizations are developing DEI initiatives that enhance both their organization membership as well as the allied profession.
2. Whether the AAA should develop a Code of Conduct or similar document for its members.
3. Whether the AAA should have either or both a professional staff Chief Diversity Officer and a Board of Director member focusing on DEI.
4. Whether the AAA should modify governance as well as processes and procedures to enhance DEI efforts.
5. How the AAA can encourage and support DEI research and its dissemination.

6. How the AAA can communicate to stakeholders its commitment, efforts, and accomplishments to improving DEI in the accounting academy and profession.

The AAA has developed a [DEI webpage](#) to transparently communicate our progress on taking concrete actions to demonstrate our commitment to DEI and to provide a variety of internal and external learning resources related to DEI. This page is filled with a variety of materials including featured books, videos—such as panels on addressing racial disparities in accounting and on how to lead a virtual classroom inclusively—learning materials, and DEI Spotlights on individuals who have been at the forefront of making a difference.

An [AAA Event Code of Professional Conduct](#) was created and posted online to ensure that all participants at AAA functions and engaging in any AAA business conduct themselves in a professional manner that is welcoming to all participants and free from any form of discrimination, harassment, or intimidation. Participants are required to treat each other with respect and consideration to create and ensure a collegial, inclusive, and professional environment at all AAA functions.

As of March 2021, the decision was made regarding a position on the Board of Directors. The Director-Focusing on Intellectual Property position will be repurposed to be a Director-Focusing on Diversity, Equity, and Inclusion. The goal is to eventually have this changed to a Vice President level position, but that will require a change to the current bylaws.

The DEI Task Force also recommended to form a standing AAA committee focused on DEI issues, as well as to develop training for staff and members on DEI topics.

Our efforts as an Association will be ongoing as we continue to enhance our efforts to attract, develop and retain a more diverse membership.

Sustainability Mindset: Profitability & Strategic Initiatives for the Future

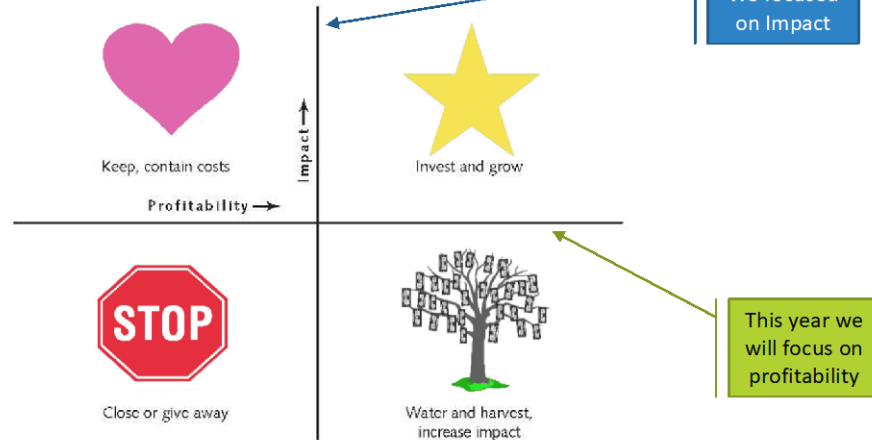
The **Sustainability Mindset Methodology** was introduced at the April 2017 Council Webinar.

The following pages reflect on the Sustainability Mindset Methodology and we often reference the **Profitability and Impact Matrix** shown on the top of page 8. AAA's Mission and Vision was a point of reference for measuring impact and profitability.

On page 9, the **AAA Business Model Project** focusing on current activities was approved by the Board and milestones, deliverables, and decisions were approved for 2018-2019.

The Board and Council continued working with this methodology, creating the **Intended Impact Statement** and **Impact Criteria** to be used for scoring (shown on pages 10-11), with the **New Activity Approval Forms**. During this time, the **New Activity Approval Process** was developed and approved by the Board of Directors in August 2018. This process is posted on the AAA website for all members to use if there is a new activity they would like to propose. You can find the process on pages 12-25 in this manual.

• What's the Story?



The AAA's Goals: Vision and Mission



Our Mission:

To further the discipline and profession of accounting through education, research, and service

We accomplish our mission through the following:

Expanding Knowledge and Idea Development

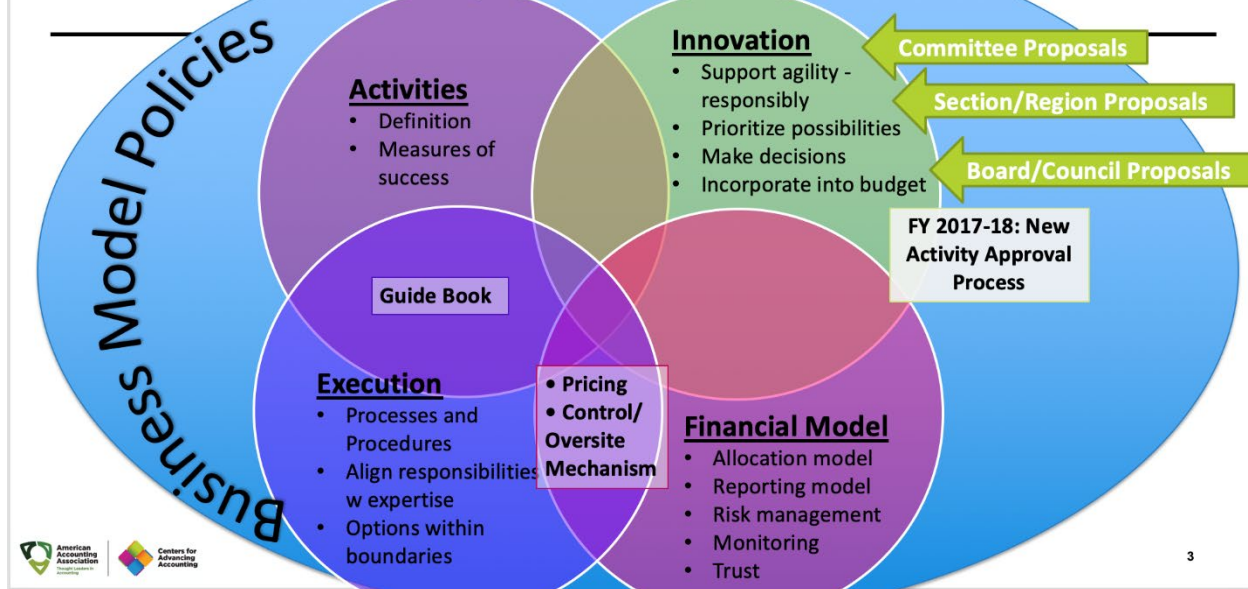
Promoting Effective Learning

Informing and Influencing Policy & Practice

Advancing Faculty Careers

Project Approved by Board

AAA Business Model Project: Focus on Current Activities



3

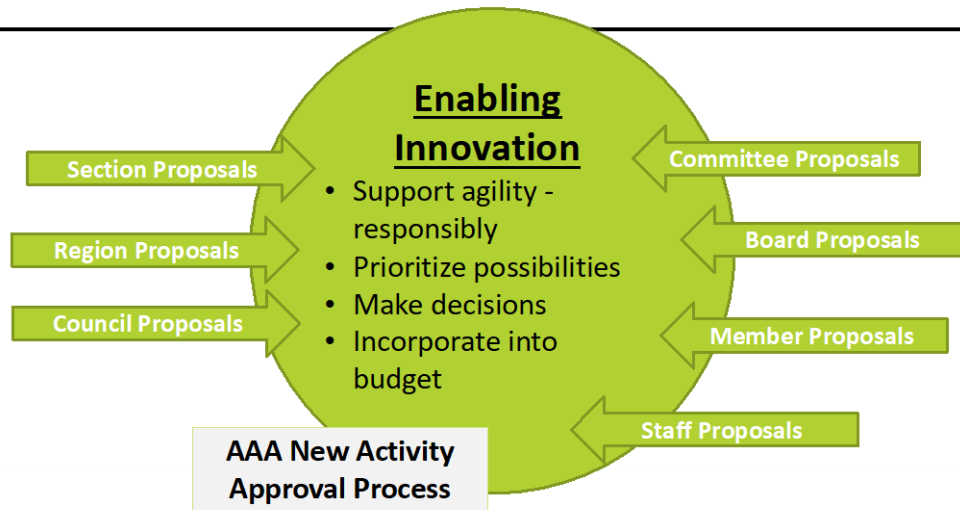
High Level Milestones, Deliverables and Decisions

November	March	May
Board Decisions <ul style="list-style-type: none"> - Define the information the Board needs (not yet to be reported out) <ul style="list-style-type: none"> - Allocation approach for General Fund - Allocation of Section funds Deliverables <ul style="list-style-type: none"> - Program definitions - Definition of indirect cost and overhead components - Allocation models <ul style="list-style-type: none"> - Options for Board to review/recommend - Preliminary identification of policies and other implementation items - Council activity 	Board Decisions <ul style="list-style-type: none"> - Pricing Policy - Setting Fees for FY 2019-20 Core Activities <ul style="list-style-type: none"> - Annual Meeting Registration Fees - Membership Dues Recommendation - Publications subscriptions rates Deliverables <ul style="list-style-type: none"> - Pro Forma of YTD Financials - Benchmarking of Annual Meeting, Membership and Subscription fees - Allocation options for Sections (for discussion in Council) 	Board Decisions <ul style="list-style-type: none"> - Target Budget policy - Year 2 project plan - Recommendations on policies, controls, and operational changes for FY 2019-20 - Budget Approval for Stage 2 Deliverables <ul style="list-style-type: none"> - Policy drafts for Board discussion/approval - Business model definition for Sections?

American Accounting Association
2018

4

AAA's ongoing use of Sustainability Mindset



Intended Impact

Globally engage and inspire the accounting community, broadly defined, to advance accounting as a learned profession through the purposeful integration of research, teaching and practice.

Impact criteria for scoring

• Contribution to Intended Impact

To what extent, as currently planned and executed, does this program:

- Globally engage and inspire the accounting community, broadly defined to advance accounting as a learned profession through the purposeful integration of research, teaching and practice.

• Excellence in Execution

- Is this program something that you believe the AAA can currently deliver in an exceptional manner? In other words, do you think that the AAA's professional staff and member leaders have the experience and expertise to execute this proposed activity at a high level with existing resources, or do you think we would need to learn more to be successful?

• Community Building

- To what extent do you see this program effectively connecting, leveraging, nurturing and growing our relationships with internal or external constituents, both current and potential?

• Significant Unmet Need

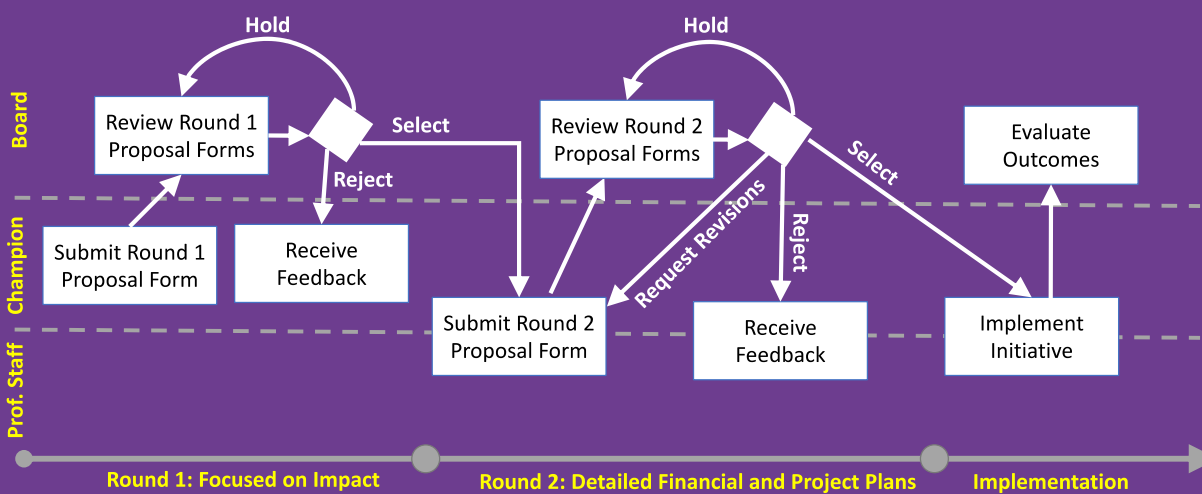
- To what extent is there significant need for which the AAA has comparative advantage?



American Accounting Association
2018

7

AAA New Activity Approval Process



Note: Proposal inventory is updated and Champion receives notification of the evaluation at each point

Operations



Policies and Procedures

Title: New Activity Approval Process

Code: BOD1000

Team: Governance: Board of Directors

Effective Date: 08/04/18

Approved By: Board of Directors

Revision Date:

Policy: This policy addresses the process for proposing a new activity.

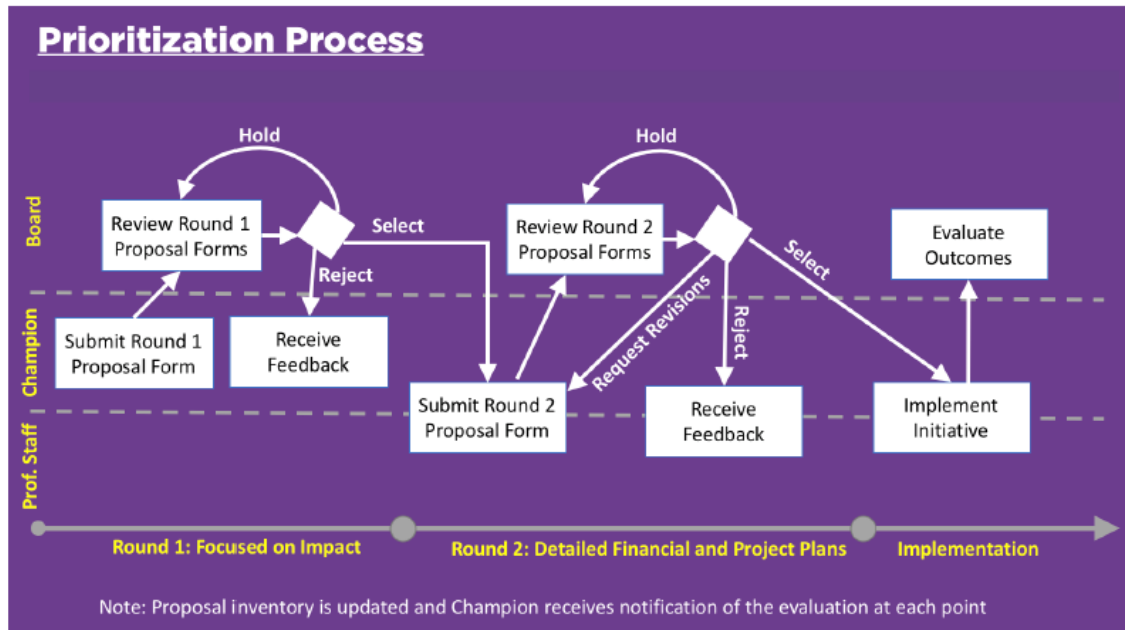
Purpose: The purpose of this policy is to ensure that proposals for new activities are received by the American Accounting Association (AAA) in a timely, consistent, and efficient manner. As a result, each proposal will be prioritized by the Board of Directors, ensuring that the Association's resources are used to focus on the activities that will enable the Association and its members to achieve our mission and vision, and to have an impact within the academy and the accounting profession. Key to our future success is balancing our resources, both people and funds, to sustain current efforts and plan for future innovations in sustainable ways.

We are a creative community with an eye toward the future. The AAA uses a 2-Round review process to identify, evaluate, and prioritize proposed ideas/projects on both their strategic and financial impact. This process encourages the identification of new opportunities and engages member leaders in making the decisions about what can and should be implemented. In our context, adding new events requires assessing impact on staffing (web/communications, meeting planning, onsite meeting management, member support, registration, etc.) and budget.

Scope: Any American Accounting Association (AAA) Member or entity (Segment, Board, Council, Committee, etc.) that is proposing a new activity will be referred to as the proposal's "champion". An "activity" is a request for a change in operations that has an impact on the Association's financial resources, staffing time, or legal obligations. Examples include requests to change section services, add a new service, implement a new technology, or entering into a new contract.

Process Overview:

There is a two-round process for prioritizing and adopting new activities. During the first round, the focus of the proposal is to describe how the new activity will further the Association's vision, mission and impact. In the second round, proposals are further developed with more detailed financial projections and a project timeline for the implementation of the activity. The Board will review proposals at their quarterly meetings, and project champions will receive status updates on their proposals after each meeting.



Procedure:

Steps for proposing a new activity, Round 1

1. Review the "AAA Initial Proposal Submission Form: ROUND 1" and Impact Criteria Guidelines for Evaluating Proposals to become familiar with the criteria that will be used to prioritize activities.
2. Complete the "AAA Initial Proposal Submission Form: ROUND 1" at least 12 months prior to the date you have targeted for the new activity to begin (18 months before would be even better!).
3. Your completed form is submitted to Darlene Dobson, Executive Assistant at Darlene.Dobson@aaahq.org.
4. You will receive a confirmation that your proposal has been received and the date of the Board meeting at which it will be discussed.

Board Review of Round 1 Proposals

1. The Board will review proposals at their Board Meetings which are held in March, May, August and November.
2. When Reviewing Round 1 proposals, three outcomes can occur:
 - a. The highest priority projects are identified, and the project champions are encouraged to work with a professional staff member to prepare a Round 2 proposal form for review at the next meeting.
 - b. Proposals not selected after the initial review may be placed back in the inventory of potential projects for consideration in future periods, and the champion will be notified of this determination.

- c. Proposals will be sent back to the champion with an explanation of why they will not be implemented in the near term.

Steps for proposing a new activity, Round 2: Expanded proposal and review for projects selected for additional consideration

1. Based upon the focus of the proposal, a professional staff member will be assigned to the proposed project to work with the project champion to develop a more detailed project timeline, financial summary, and resource requirements summary.
2. The champion and professional staff member may update the Round 1 proposal (using form Round 1B) if the additional analysis provides more insights related to impact.
3. The champion and professional staff member will complete the "AAA Expanded Proposal Submission Form: ROUND 2" and submit it (along with the updated Round 1B form, if appropriate) to Darlene Dobson, the AAA's Executive Assistant, at Darlene.Dobson@aaahq.org
4. When the Round 2 proposal is submitted to the Board, the project champion will receive an acknowledgement of receipt – and information about the next Board meeting.
5. If not approved - the project may be reconsidered within 12 months. After that time, it will be returned to the champion with an explanation of its status.

Board Review of Round 2 Proposals

1. The Board will review proposals at their Board Meetings which are held in March, May, August and November.
2. When Reviewing Round 2 proposals, three outcomes can occur:
 - a. The highest priority projects will be identified, and the Board will approve their implementation, including the budgetary and staffing implications.
 - b. Proposals not selected after the Round 2 review may be placed back in the inventory of potential projects for consideration in future periods, and the champion will be notified of this determination.
 - c. Proposals that will not be considered further will be sent back to the champion with an explanation of why they will not be implemented in the near term.

Revision History:

Revision #	Date	Description of Changes	Requested By:
	MM/DD/YY		

AAA Impact Criteria Valuation Guidelines

Impact Criteria	Definitions of Scores
Intended Impact To what extent, as currently planned (and executed), does this program: Globally engage and inspire the accounting community, broadly defined, to advance accounting as a learned profession through the purposeful integration of research, teaching and practice. <i>Provide score 1 (low) – 4 (high) and comments</i>	1. No focus on global issues, constituents outside of the AAA, or on integrating activities.
	2. Moderately broad impact, only focusing on ~one area of impact: - Global people or issues - Integration of Research/Practice or Teaching/Practice
	3. Broad impact - affecting a substantial, but no significant portion of AAA.
	4. Focuses on both of the following, Global People or Issues and Integration of Teaching, Research and Practice.
Excellence in Execution Is this program something that AAA can currently deliver in an exceptional manner? In other words, is this a program you think AAA can currently execute at a high level – keeping in mind the current staff, knowledge and workload. <i>Provide score 1 (low) – 4 (high) and comments</i>	1. This project is outside of the AAA's current capabilities and would require development of significant new skills and staff resources.
	2. This activity is related to the AAA's core competencies, but would require development of additional skills/staff to execute successfully.
	3. The AAA has some expertise and know-how to provide this service, but would need to increase its bandwidth to execute either with new staff or outsourced, short-term support.
	4. AAA has expertise and know-how to immediately execute
Broaden Community To what extent do you see this program effectively connecting, leveraging, nurturing and growing our relationships with internal or external constituents, both current and potential? <i>Provide score 1 (low) – 4 (high) and comments</i>	1. Focused only on supporting our existing member base of tenure track faculty, does not broaden the connection, leverage or growth of the AAA.
	2. Builds upon our current core offerings to extend their reach to new constituents as recipients, but overall has a moderate effect of bringing in new constituents.
	3. Provides a means to share our activities, in a meaningful, reoccurring way, with substantial external constituents.
	4. Creates significant interaction with external constituents, developing a meaningful relationship with them through a high connection to broadening our community.
Unmet Need To what extent is there significant need for which the AAA has comparative advantage? <i>This criteria can be related to theory behind supply and demand.</i> <i>Provide score 1 (low) – 4 (high) and comments</i>	1. There is a Low Need/Low Advantage, with others providing this product/service in a high-quality manner.
	2. There is a Moderate Need/Low Advantage, but there are some providers in the market.
	3. There is a Moderate Need/Moderate Advantage, with some providing this product or service, evidence that there is demand, and our advantage can be defined.
	4. There is a High Need/High Advantage, with no one providing this product or service, a significant need, and an advantage within AAA that can allow the organization to be a leader.

Activity #: _____

(assigned by AAA)

AAA INITIAL PROPOSAL SUBMISSION FORM: ROUND 1

Input to Strategic Prioritization

I. Project Overview
Activity/Project/Program Name:
Name of individual or group championing and proposing the activity:
Describe the proposed activity or program. Indicate whether it is a new initiative, a revision to an existing initiative, or an extension to an existing initiative.
Why is this project important now and what is the anticipated outcome?
What audience/s, and how many people, do you project will be impacted by this project/activity? (Are they AAA members, other practicing professionals, public/society, others?)
What individuals or groups will need to be involved in order for this proposed project to be accomplished?
What is a preliminary timeline for this project (both short and long-term)?

Proposals will be reviewed by the Board in two rounds, and scored on a scale of 1-4 against an established rubric.

II. AAA Mission Impact Criteria <i>Note: Each project is not expected to match every criteria at a high level.</i>	Describe how the proposed activity contributes to each criteria
Intended Impact To what extent, as currently planned (and executed), does this program: Globally engage and inspire the accounting community, broadly defined, to advance accounting as a learned profession through the purposeful integration of research, teaching, and practice.	
Excellence in Execution Is this program something that you believe the AAA can currently deliver in an exceptional manner? In other words, do you think that the AAA's professional staff and member leaders have the experience and expertise to execute this proposed activity at a high level with existing resources, or do	

Activity #: _____

(assigned by AAA)

you think we would need to learn more to be successful? Why or why not?	
Broaden Community To what extent do you see this program effectively connecting, leveraging, nurturing and growing our relationships with internal or external constituents, both current and potential?	
Unmet Need To what extent is there a significant need for which the AAA has a comparative advantage?	

III. Resources Required In Round 1 of the proposal, please provide a high level overview of the resources/expenses needed for this proposed activity. Note that if this project moves to the second Round, the professional staff will work with the champion to develop a more thorough financial model (<i>Use "not applicable" if you believe none would be needed, and "don't know" if this it take more research to answer the questions.</i>)	
Outside Expertise/Partners Are there other organizations or people needed to provide this service? Or, is there specific outside expertise that will be required?	
Investment / Cost Structure Do you think that an investment will be needed to implement this project? Is it likely we currently have, or will be able to easily secure, the finances needed to carry out this project? If investment required – what is your ballpark estimate of the amount of investment?	
Staffing What tasks and time would be required of professional staff and member volunteers? Please provide a brief description of your sense of the support needed.	
Organization Culture Are there potential shifts in organizational culture required for this activity to succeed? If yes, who will this shift affect: professional staff, Board/Council, members, Segment leaders, partners, or others?	

IV. Financial Outlook/Revenue Strategy In Round 1 of the proposal, please provide a high level overview of the revenues and/or cost savings generated by this proposed activity. Note that if this project moves to Round 2, a professional staff member will work with the champion to develop a more thorough financial model (<i>Use "not applicable" if you believe none would be needed, and "don't know" if this would take more research to answer the questions.</i>)	
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Activity #: _____

(assigned by AAA)

Profitability How will this project impact the Association's profitability? Will this activity provide funds and/or reduce program expenses?	
Future Outlook What is the market for this activity? Is it stable or shifting? Please describe briefly.	
V. Other (Y/N + narrative)	
Time to Impact Are there any critical dates for this project to be successful? How long do you believe it will take for the project to be completed and begin delivering the benefits envisioned?	
Risk Is the AAA or its partners subject to any risk embarking on this project – or <i>not</i> embarking on it? What is the estimated level of risk that would be involved - Low, Medium, or High? What are the factors influencing the risk?	

Activity #: _____

(assigned by AAA)

AAA UPDATED INITIAL PROPOSAL SUBMISSION FORM: ROUND 1B

Input to Strategic Prioritization to be Submitted in Round 2

I. Project Overview
Activity/Project/Program Name:
Name of individual or group championing and proposing the activity:
Explain any major differences between the Round 1 proposal and this submission:
Describe the proposed activity or program. Indicate whether it is a new initiative, a revision to an existing initiative, or an extension to an existing initiative.
Why is this project important now and what is the anticipated outcome?
What audience/s, and how many people, do you project will be impacted by this project/activity? <i>(Are they AAA members, other practicing professionals, public/society, others?)</i>
What individuals or groups will need to be involved in order for this proposed project to be accomplished?
What is a preliminary timeline for this project (both short and long-term)?

Proposals will be reviewed by the Board in two rounds, and scored on a scale of 1-4 against an established rubric.

II. AAA Mission Impact Criteria <i>Note: Each project is not expected to match every criteria at a high level.</i>	Describe how the proposed activity contributes to each criteria
Intended Impact To what extent, as currently planned (and executed), does this program: Globally engage and inspire the accounting community, broadly defined, to advance accounting as a learned profession through the purposeful integration of research, teaching, and practice.	
Excellence in Execution Is this program something that you believe the AAA can currently deliver in an exceptional manner? In other words, do you think that the AAA's professional staff and member leaders have the experience and expertise to execute this proposed activity at	

Activity #: _____

(assigned by AAA)

a high level with existing resources, or do you think we would need to learn more to be successful? Why or why not?	
Broaden Community To what extent do you see this program effectively connecting, leveraging, nurturing and growing our relationships with internal or external constituents, both current and potential?	
Unmet Need To what extent is there a significant need for which the AAA has a comparative advantage?	

III. Resources Required

In Round 1 of the proposal, please provide a high level overview of the resources/expenses needed for this proposed activity. Note that if this project moves to the second Round, the professional staff will work with the champion to develop a more thorough financial model (*Use "not applicable" if you believe none would be needed, and "don't know" if this it take more research to answer the questions.*)

Outside Expertise/Partners Are there other organizations or people needed to provide this service? Or, is there specific outside expertise that will be required?	
Investment / Cost Structure Do you think that an investment will be needed to implement this project? Is it likely we currently have, or will be able to easily secure, the finances needed to carry out this project? If investment required – what is your ballpark estimate of the amount of investment?	
Staffing What tasks and time would be required of professional staff and member volunteers? Please provide a brief description of your sense of the support needed.	
Organization Culture Are there potential shifts in organizational culture required for this activity to succeed? If yes, who will this shift affect: professional staff, Board/Council, members, Segment leaders, partners, or others?	

IV. Financial Outlook/Revenue Strategy

In Round 1 of the proposal, please provide a high level overview of the revenues and/or cost savings generated by this proposed activity. Note that if this project moves to Round 2, a professional staff member will work with the champion to develop a more thorough financial model (*Use "not applicable" if you believe none would be needed, and "don't know" if this would take more research to answer the questions.*)

Activity #: _____

(assigned by AAA)

Profitability How will this project impact the Association's profitability? Will this activity provide funds and/or reduce program expenses?	
Future Outlook What is the market for this activity? Is it stable or shifting? Please describe briefly.	
V. Other (Y/N + narrative)	
Time to Impact Are there any critical dates for this project to be successful? How long do you believe it will take for the project to be completed and begin delivering the benefits envisioned?	
Risk Is the AAA or its partners subject to any risk embarking on this project – or <i>not</i> embarking on it? What is the estimated level of risk that would be involved - Low, Medium, or High? What are the factors influencing the risk?	

Activity #: _____
(assigned by AAA)

AAA EXPANDED PROPOSAL SUBMISSION FORM: ROUND 2

Input to Strategic Prioritization

Proposals will be reviewed by the Board in two rounds. Round 1 proposals that the Board determines have the highest potential move into Round 2. At that Round, a team of professional staff and member leaders will use this form to supplement the initial proposals with more detailed information. When submitting Round 2 proposals, also submit the Round 1B Proposal form (the Round 1 form with a section to describe major updates/changes between submissions).

I. Project Overview
Activity/Project/Program Name:
Activity Number (assigned in Round 1):
Name of individual or group championing and proposing the activity:

II. Financial Summary	Dollars/Hours	Comments/Explanations
During Implementation		
Total Out of Pocket Costs		
Staff time: Existing Staff		
<ul style="list-style-type: none"> - Executive Staff - Finance - Meetings - Membership - Publications - Web/IT 		
Revenue Generated		
Post Implementation		
Annual, Ongoing Out of Pocket Costs		
Staff time: Existing Staff		
<ul style="list-style-type: none"> - Executive Staff - Finance - Meetings - Membership - Publications - Web/IT 		
New Staff		
<ul style="list-style-type: none"> - Executive Staff - Finance - Meetings - Membership - Publications - Web/IT - Other: _____ 		
Revenue Generated		
2 Year Summary		
Revenue		
Total Out of Pocket Costs		
Net Cash Flow		

Activity #: _____
(assigned by AAA)

Staff time - Executive Staff - Finance - Meetings - Membership - Publications - Web/IT		
New Staff - Executive Staff - Finance - Meetings - Membership - Publications - Web/IT Other: _____		

III. Key Parties Participating in this Project		
Person/Organization	Role/Responsibility	Projected Expenditures (fees, reimbursed costs, staff time...)

IV. Risk Mitigation	
Risk Exposure(s)	Steps to Mitigate Risk

V. Integrated Timeline						
Provide a detailed timeline for the project including key dates that will influence the project's success, major milestones, and evaluation points (and the metrics that will be used with the evaluation).						
Target Date	Milestone/Activity Description	Who is responsible?	How long will it take?	Metric(s) of Success?	Expected costs?	Expected revenue?
Total:						

Activity #: _____
(assigned by AAA)

Remember to submit the Round 1B form (an updated version of the Round 1 Proposal Form) when you submit this document.



Governance

Council Focus

According to AAA Bylaws, Council shall assist the Board of Directors in governance of the Association. The functions of the Council shall be in part advisory and in part decision-making, with day-to-day decisions made by the President, the Chief Executive Officer, and the Board of Directors. The Council shall normally meet quarterly, either virtually or in person. One such meeting shall be held at the annual meeting. Members of the Council shall begin their term at the conclusion of the annual meeting of the Association.

Council Duties

1. Propose Bylaws changes for submission to the Board of Directors and act upon Bylaws changes submitted to it by the Board of Directors before submission to the members.
2. Approve changes in dues.
3. Approve major decisions when referred to the Council by the Board of Directors.
4. Elect five members of the AAA Nominations Committee (see [Section IX](#)). Current Council members are not eligible to serve on the AAA Nominations Committee.
5. Review the annual budget of the organization and make recommendations thereon to the President-Elect.
6. Review for approval all AAA advocacy positions.
7. Populate all Association-wide awards committees.
8. Each year nominate an AAA member for a three-year term on the Board of Directors and forward the name to the AAA Nominations Committee for inclusion in the slate put before the membership.
9. Regularly monitor AAA member views on the AAA strategic plan and report to the Board of Directors.
10. Monitor periodic Segment reports (see [Section XIII](#)) and recommend to the Board of Directors creation of or dissolution of Segments due to membership demand or lack thereof, fiscal feasibility, and/or compliance with AAA Bylaws, policies, or procedures.
11. Other activities to advance the AAA strategy as directed by the Board of Directors.

Council Chair

The Council Chair will serve for one year. The Council Chair, assisted by Council Chair-Elect and the Past Council Chair, will preside over Council meetings. Council Policies and Procedures will identify the processes for electing the Council Chair. Members of the Board of Directors may not serve as Council Chair.

Council Composition and Length of Service

1. Board of Directors members during their terms of office
2. Representatives of Segments (i.e., Regions and Sections) of the Association
3. At-Large Representatives of the international members of the Association

Each Association Segment will have one representative on Council. Council members will be elected by members of their Segment to each serve a three-year term, with approximately one-third of the Council elected each year. Board of Directors will appoint two international members to the Council.

Council Standing Committees

1. Council Committee on Awards Committees shall populate Association-wide awards committees.
2. Advocacy Review Committee shall review positions forwarded by Association-level committees for suitability to represent an Association-level position. Position papers or letters approved by this committee will be designated as representing official positions of the AAA.
3. Council Ballot Committee shall identify at least two member names each year, who meet the criteria of the call for nominations approved by the Board of Directors, to serve on the Board of Directors. The names shall be sent to the AAA Nominations Committee to be placed on the AAA ballot for a member of the Board of Directors.

Quorum and Voting

Sixty percent of the members of the Council shall constitute a quorum. Issues shall be decided by a simple majority vote of those present.

Links:

[AAA Bylaws](#)

[Current Council](#)

[Directory Archive](#)

[AAA Professional Staff](#)

Expectations of Council Members

- Attend all Council Meetings
- Start and end meetings on time
- Study and understand the mission statement, bylaws, and strategic plan
- Prepare for meetings by reviewing agenda and all supporting documents
- Stick to established agendas during Council meetings
- Treat information and discussions as confidential
- Be respectful of people and ideas
- Share Council Chair meeting summaries with Segment Leadership after each meeting

Your role as a Council member is a vital one as you are the liaison between Council and your respective Segment. You communicate the important issues facing your Segment with Council as a whole, evaluate ideas & initiatives, elect committee members, and help advance the mission, strategies and values of the Association as a whole.



“The work of the Council has been instrumental to the operations of the Auditing Section. For example, our representative, Audrey Gramling, was able to raise an important technological opportunity to improve meeting logistics to the AAA through the Council. Based on her work, the AAA was able to respond to our need and dramatically improve the review process for our Midyear Meeting. I am so thankful that the Council and its representatives exist.” – **Jay Thibodeau**, *Past President, AAA Auditing Section*

American Accounting Association Key Leadership Roles and Responsibilities

Focus & Responsibility	Management Team	Board	Council	Professional Staff	Strategy Team (Future)
Strategy	Under the direction of the President and the Executive Director: <ul style="list-style-type: none"> • Direct strategy development • Provide strategic insight • Drive designated teams/projects • Monitor ongoing progress and performance • Perform primary review • Review financial plan for strategic initiatives (esp. VP Finance) • Implement and ensure ongoing strategic process • Lead Annual Meeting discussions • Lead Management Team (Pres) & (Exec. Dir) • Ensure effective messaging • Serve as champions and spokespersons 	<ul style="list-style-type: none"> • Provide general oversight • Provide high level input • Approve final plan • Ensure and approve strategic resource allocations and budget • Monitor results • Understand and advocate the AAA strategy to members 	Association-wide: <ul style="list-style-type: none"> • Perform situational analysis • Provide critical input • Evaluate ideas and proposed initiatives • Organize and enable individuals and teams to perform specific analyses and tasks as needed by Strategy Team Sections and Regions: <ul style="list-style-type: none"> • Develop and implement section/region strategies to complement AAA strategy • Recommend ideas and share insights through Council rep into the larger Sharpening Our Vision process 	Executive Director <ul style="list-style-type: none"> • Serve as chair of the Strategy team • Develop and implement formal and structured strategy process for development and execution • Perform ongoing planning and lead the Strategy Team • Coordinate all strategic activities • Determine strategic projects • Present to Board and Council Professional Staff: <ul style="list-style-type: none"> • Assist all groups with logistics, document development, and general support • Serve on key teams as resource experts • Provide input, ideas and analysis based on actual experience • Develop business models 	Under the direction of the Executive Director: <ul style="list-style-type: none"> • Implement and conduct strategic planning process • Identify individuals and teams that can assist with analysis and idea creation • Perform stakeholder needs analysis • Develop and manage strategic plan documents • Meet with Management Team, Board and Council as requested
Governance Structure related to Strategy	<ul style="list-style-type: none"> • Provide input and identify committee chairs (Pres Elect coordinates) • Committee and task force appointments • Create the Call for Nominations 	<ul style="list-style-type: none"> • Ensure key committees are aware of and acting within strategic focus • Approve individual Board positions and roles (which will be the basis for development of the Call for Nominations) • Approve the Call for Nominations 	<ul style="list-style-type: none"> • May propose bylaw changes to the Governance Committee • Elect 5 members of the AAA Nominations Committee • Review and approve advocacy positions • Populate Council Committee on Awards Committees • Provide Council Ballot Committee 	<ul style="list-style-type: none"> • Support identification, formations, and activity of committees and task force 	

Focus & Responsibility	Management Team	Board	Council	Professional Staff	Strategy Team (Future)
Key Activities	<ul style="list-style-type: none"> Identify Annual Meeting Program Chairs (Pres) 	For association-wide journals: <ul style="list-style-type: none"> Select editors Approve editorial board nominees 	<ul style="list-style-type: none"> Approve Membership Dues Populate slate for one Board of Director position in AAA election Elect AAA Nominations Committee members 	<ul style="list-style-type: none"> Provide expertise and operational support 	
Legal	<ul style="list-style-type: none"> Understand and manage legal risk 	<ul style="list-style-type: none"> Understand legal risk 	<ul style="list-style-type: none"> Understand legal risk Be informed when appropriate 	<ul style="list-style-type: none"> Manage legal advice appropriate to association circumstances and strategy Ensure Management Team and Board are aware of legal risks associated with governance processes and activities 	
Finance	<ul style="list-style-type: none"> Provide required information to the Board for review, approval and ongoing monitoring 	<ul style="list-style-type: none"> Approve financial plans and related budget Monitor financial position and performance Approve strategic investments 	<ul style="list-style-type: none"> Approve changes for member dues 	<ul style="list-style-type: none"> Develop budget Operate within budget Identify, assess and manage financial and non-financial risks Provide financial plan to drive strategy and projects 	

Minutes

Meeting agendas and minutes from both Board of Directors and Council meetings are posted to the AAA website for members to view.

Links:

Board of Directors and Council Activities

(Meeting Agendas and Minutes)

Meetings



Council Meetings

There are four Council Meetings scheduled throughout the year.

- August (Annual Meeting) – Council holds a short meeting on Sunday afternoon at the Annual Meeting.
 - *You are responsible for making your own hotel reservations for this meeting.*
- Fall (November) – typically held in the city to host the next year's Annual Meeting.
 - *The AAA pays for the hotel/travel costs. AAA will make the hotel reservations for this meeting.*
- Spring (March) – alternating locations, every 3rd year in Sarasota at AAA Headquarters.
 - *Individual Segments reimburse members for travel related expenses. AAA will make the hotel reservations for this meeting.*
- Virtual Meeting (typically April) – a two-hour webinar to take the place of an in-person meeting.

Meeting materials are distributed a week prior to the meeting in order to give time for review of the agenda, past minutes, and any documents related to agenda items.

Note: You will be responsible for making your own flights for all meetings. The AAA does not reimburse for travel expenses for the Annual Meeting.

Committees & Task Forces

The AAA has a variety of Standing Committees, Task Forces, and Award Committees as per the [AAA Bylaws](#). Links to the various committee pages can be found [HERE](#).

AAA Committees

AAA Standing Committees

- Council Advocacy Review Committee
- Council Committee on Awards Committee
- Education Committee
- Finance Committee
- Governance Committee
- Nominations Committee
- Publications Committee
- Research Committee



Committees and Task Forces

- Accounting Hall of Fame Committee
- Accounting Horizons Steering Committee
- Annual Meeting Committee
- Audit Committee
- COSO Committee
- Doctoral Consortium Committee
- Global Engagement Committee
- *Issues in Accounting Education* Steering Committee
- Membership Advisory Committee
- New Faculty Consortium Committee
- The AAA/J. Michael and Mary Anne Cook/Deloitte Foundation Prize
- *The Accounting Review* Steering Committee
- Trueblood Seminars Committee

Award Committees

- Competitive Manuscript Award Committee
- Deloitte Foundation Wildman Award Committee
- Distinguished Contributions to Accounting Literature Award Selection Committee
- Innovation in Accounting Education Award Committee
- Lifetime Service Award Committee
- Notable and Distinguished Contributions to Accounting Literature Award Screening Committee
- Notable Contributions to Accounting Literature Award Selection Committee
- Outstanding Accounting Educator Award Committee

Links: [AAA Awards](#)

Finance

The Finance Committee is responsible for monitoring the financial condition and goals of the Association. The budget is completed in two phases. Phase One of the budget is to review and recommend Continuing Operations that includes dues, registration fees, and subscription rates. Phase Two of the budget is to review and recommend Strategic Initiatives. The committee will meet in February/March, May, and at the Annual Meeting. The committee is made up of nine members including the President, President-Elect and Past President, and the Vice-President – Finance.

The Board is responsible for reviewing and approving our annual budget. The Board should also receive financial reports on a regular basis several times a year. The reports should show budgeted and actual expenditures as well as budgeted and actual revenues. By carefully reviewing the regular financial reports, the Board will be able to determine whether adjustments must be made in spending to accommodate changes in revenues.

Council approves membership dues changes at the Spring Meeting.



Links:

[Current Financial Statements and Supplemental Information for May 31, 2020](#)

Risk Management

Each year at the November meeting, Council members must sign two Policies: The Conflict of Interest Policy and the Code of Ethics Policy.

Through your leadership on Council, you can foster a climate whereby the directors, employees, and volunteers act in a manner that upholds the highest ethical standards, while carrying out necessary duties. It is important to create this expectation for Council and others. If you and your fellow Council members appear unconcerned with maintaining high standards, this attitude will be observed by the employees and volunteers, and it will influence their behavior as well.

You are expected to comply fully with our Code of Ethics, which includes the Conflict of Interest Policy. You and the other members of the Board are responsible for ensuring that all others comply with these policies as well. The Board is responsible for implementing the Whistleblower Policy and for ensuring that any claims of wrongdoing by a director, officer, employee, or volunteer are investigated fully and fairly, and that there is no retaliation against anyone bringing a claim in good faith.

The Conflict of Interest Policy defines conflicts of interest; identifies classes of individuals covered by the policy; facilitates disclosure of information that identifies conflicts of interest and specifies procedures to be followed in managing conflicts of interest.

The Code of Ethics Policy serves as a code of conduct for BOD, Council, AAA Professional staff, and the officers/directors of its Segments.



Links:

[Conflict of Interest Policy](#)

[Code of Ethics Policy](#)

History of the AAA

The American Accounting Association is the largest community of accountants in academia. Founded in 1916, we have a rich and reputable history built on leading-edge research and publications. The diversity of our membership creates a fertile environment for collaboration and innovation. Collectively, we shape the future of accounting through teaching, research and a powerful network, ensuring our position as thought leaders in accounting.

A small group of accounting teachers met on December 30, 1915, at the annual meeting of the American Economic Association. They composed a letter that was sent to accounting teachers at about 150 universities and colleges in which they proposed the organization of an association of instructors in accounting within the universities. John R. Wildman (New York University) was the leading force of the group. On December 1, 1916, he took out incorporation papers in the District of Columbia in the name of “The American Association of University Instructors in Accounting.”

Stephen A. Zeff authored “*American Accounting Association, Its First 50 Years – 1916-1966*,” published in 1966. In 1991, Dale L. Flesher authored the second history book, titled “*The Third-Quarter Century of the American Accounting Association – 1966-1991*.” The third history book, “*Years of Transition: The American Accounting Association, 1991-2016*,” was published in 2016. It was written by Paul J. Miranti, Jr., Nandini Chandar, and Deirdre M. Collier.



Links:
Past Presidents of the AAA



AAA Segments: Regions and Sections

Regions

The AAA is broken into seven geographic regions – each of which holds a midyear meeting. Region meetings allow members to gather locally and exchange ideas related to accounting research, education, and environmental forces facing the profession, as well as to support the AAA at the national level.

The Northeast, Midwest, Ohio, Southeast, and Western Regions are all participating in the Region Pilot program which was started in 2013. Regions in this program share a plenary Headline speaker, as well as have regional speakers at their meetings; partner with National CTLA and offer sessions at their midyear meetings; and benefit from specialized AAA branded marketing efforts.



- **Mid-Atlantic Region** (Delaware, Maryland, New Jersey, Pennsylvania, West Virginia and Washington DC)
- **Midwest Region** (Iowa, Illinois, Indiana, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, South Dakota, and Wisconsin)
- **Northeast Region** (Connecticut, Massachusetts, Maine, New Hampshire, New York, Rhode Island, and Vermont)
- **Ohio Region** (Ohio)
- **Southeast Region** (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee, and Virginia)
- **Southwest Region** (Arkansas, Louisiana, New Mexico, Oklahoma, and Texas)
- **Western Region** (Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, Oregon, Utah, Washington, and Wyoming)

Links:

[Segments of the Association \(AAA Bylaws\)](#)

Sections

In 1976, the AAA Board of Directors approved the creation of the first Sections. Our Sections provide an opportunity for members to drill deeply into their area(s) of expertise, to share their research, to network, and to support their teaching and leadership efforts.

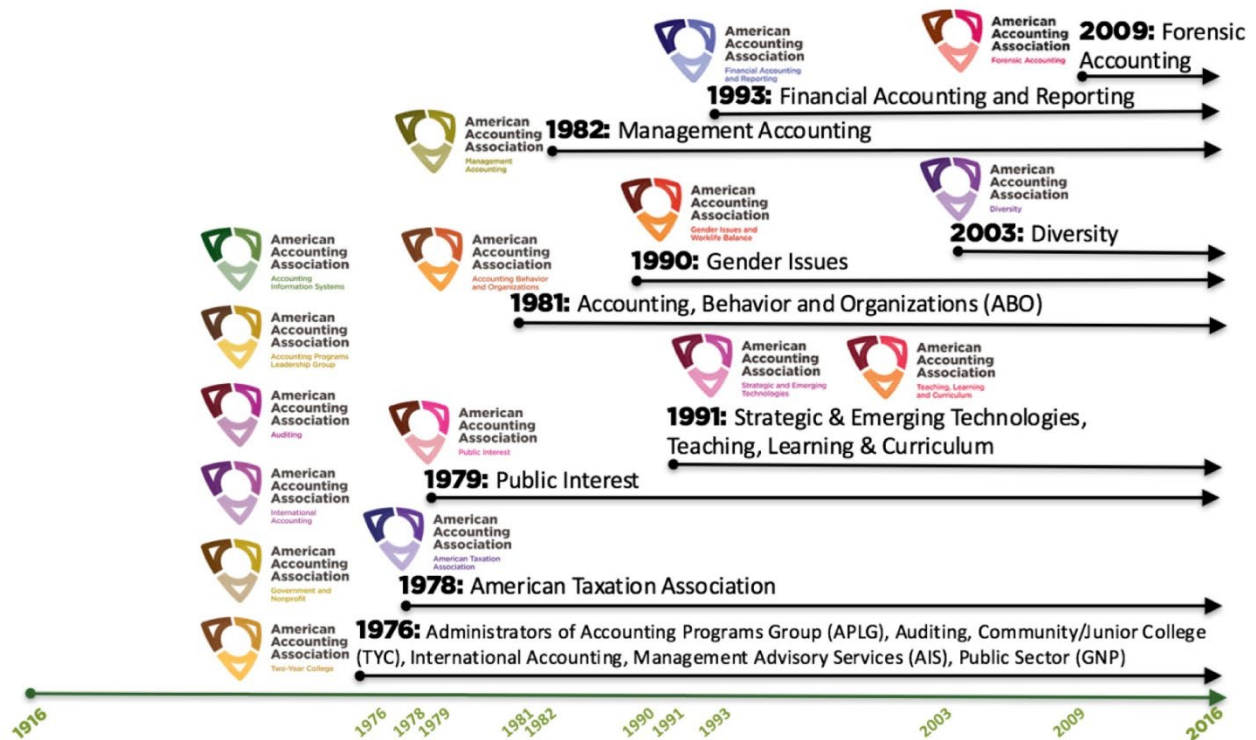
The first Sections were the Administrators of Accounting Programs Group (later renamed Accounting Program Leadership Group), Auditing, Community/Junior College (later renamed Two-Year College), International Accounting, Management Advisory Services (later known as Accounting Information Systems), and Public Sector (later renamed Government and Nonprofit). Through the years, the Sections have expanded and we are now at a total of seventeen with the most recent addition of the Academy of Accounting Historians.



The newest AAA Section – 2017:



The below graph shows when each Section was formed:



Links:

- [Academy of Accounting Historians](#)
- [Accounting, Behavior and Organizations](#)
- [Accounting Information Systems](#)
- [Accounting Programs Leadership Group](#)
- [American Taxation Association](#)
- [Auditing](#)
- [Diversity](#)
- [Financial Accounting and Reporting](#)
- [Forensic Accounting](#)
- [Gender Issues and Worklife Balance](#)
- [Government and Nonprofit](#)
- [International Accounting](#)
- [Management Accounting](#)
- [Public Interest](#)
- [Strategic and Emerging Technologies](#)
- [Teaching, Learning and Curriculum](#)
- [Two-Year College](#)

[Section Officers Directory](#)
[Segments of the Association \(AAA Bylaws\)](#)

Publications

The AAA has a rich history of publishing leading-edge journals and is the home of the deepest and broadest collection of scholarship about accounting. Members may access either print copies or electronic versions of these journals via the **AAA Digital Library**. The Digital Library saw changes in April 2020, with an updated look and a new hosting platform. AAA membership includes full text access to the three main AAA journals (see below), as well as access to all Section journals via the Digital Library.

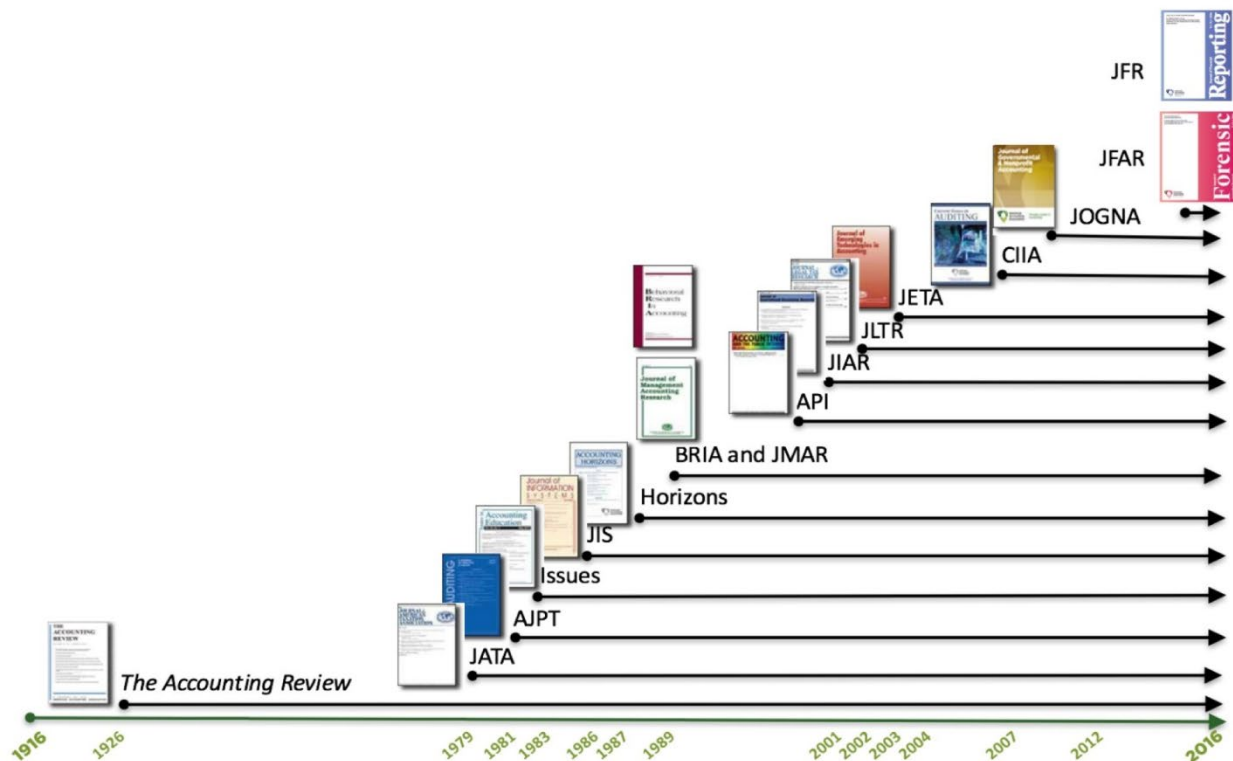
The three main AAA journals consist of the following:

- **The Accounting Review**
The premier journal for publishing articles reporting the results of accounting research and explaining and illustrating related research methodology. Published six times a year.
- **Accounting Horizons**
Publishes papers focusing on the scholarship of integration and application. Published quarterly.
- **Issues in Accounting Education**
Publishes research, commentaries, instructional resources, and book reviews that assist accounting faculty in teaching and that address important issues in accounting education. Published quarterly.



The AAA also published a quarterly newsletter, **Accounting Education News**.

With the introduction of sections, we quickly began expanding our collection and creating journals to support a much broader view of accounting scholarship. In 1979, we published our first section journal, *The Journal of the American Taxation Association*. As you can see below, our collection has grown, and we continue to add new journals to support the great work being done by our members and our sections. As we prepare to enter our next 100 years, we will explore cover re-designs to make the collection more unified and easily recognized as a part of an overall collection of outstanding publications.



In 2017, the new journal covers debuted which gives our entire collection a more cohesive look:



Appendix

Calendar of AAA Activities (including Council)

August
<ul style="list-style-type: none"> • AAA Annual Meeting <ul style="list-style-type: none"> ◦ Council Ballot Committee Chair election
September
October
<ul style="list-style-type: none"> • Start of Section & Region Meetings • Management Team Meeting – agendas for BOD and Council Meetings discussed • Nominations Committee Meeting • Council – open call for Council Committee on Awards Committee members
November
<ul style="list-style-type: none"> • Fall Board of Directors and Council Meetings <ul style="list-style-type: none"> ◦ Council Committee on Awards Committee Election ◦ Council Ballot Committee – selection of nominees for BOD position
December
<ul style="list-style-type: none"> • Accounting PhD Rookie Recruiting and Research Camp
January
<ul style="list-style-type: none"> • Section & Region Meetings • Management Team Meeting – agenda for March BOD and Council Meetings discussed • Publications Committee Meeting (tentative) • AAA Nominations Committee call for Nominations opens • Council – Call for Nominations for Council Chair-Elect opens
February
<ul style="list-style-type: none"> • Section & Region Meetings • New Faculty Consortium • Finance Committee Meeting (tentative) • AAA Nominations Committee – call for nominations closes • Council – Call for Nominations for Council Chair-Elect closes
March
<ul style="list-style-type: none"> • Section & Region Meetings • Spring Board of Directors and Council Meetings <ul style="list-style-type: none"> ◦ Council Chair-Elect election ◦ AAA Nominations Committee election ◦ CCAC meets to begin populating award committees
April
<ul style="list-style-type: none"> • Section & Region Meetings • Management Team Meeting • Council Virtual Meeting (2 hours)
May
<ul style="list-style-type: none"> • Section & Region Meetings • Board Strategic Planning Meeting
June
<ul style="list-style-type: none"> • Management Team Meeting – agendas for BOD and Council Meetings discussed • Doctoral Consortium • Council Chairs elect Council Advocacy Review Committee positions. Committee populated and Council notified of committee members.
July
<ul style="list-style-type: none"> • Council Ballot Chair nominations open

Council Chair-Elect and Council Chair

Roles and Responsibilities for the positions:

The Council Chair-Elect will join the AAA Council Officers consisting of the Council Chair-Elect, Chair, and Past Chair, and will play a significant role in supporting the Board of Directors in governance of the Association as described in the AAA Bylaws during this individual's three-year term.

The Council Chair-Elect serves for one year in that role (2021-2022), then for one year as Council Chair (2022-2023), followed by one year as Past Chair (2023-2024) – comprising a three-year term.

As Council Chair, responsibilities focus on leading the Council, assisted by the Council Chair-Elect and the Past Council Chair, presiding over Council Meetings, and helping Council complete its duties. The Council Chair is encouraged to attend the Board of Directors and Management Team meetings. AAA Leadership, consisting of the President, President-Elect, Past President, Council Chair, and Past Council Chair, are asked to represent the Association at Segment meetings by attending the meeting and providing an Association update during the meeting.

Council Officers shall conduct an orientation meeting for incoming Council Representatives immediately prior to the August Council Meeting. Council Officers shall assist in the creation of Council Meeting agendas, working regularly throughout the year with AAA Professional Staff to prepare for the meetings.

Past Council Chairs serve as a Council Officer continuing to sustain Council activities and provide continuity and cohesion among the Council Officers.

The Chair-Elect can represent a Segment within Council and can vote as a Representative.

The Council Chair and Past Council Chair do not vote, and their Segments must appoint a voting replacement to complete these leaders' Council terms.

Committee Charges

Council Advocacy Review Committee:

The Council Advocacy Review Committee (ARC) shall review positions forwarded by members of the Board of Directors, Segments, or Association-level committees, for suitability to represent an Association-level position. Position papers or letters approved by this committee will be put before the Council for approval as official positions of the AAA.

Membership

- The ARC shall consist of eight members, including the Chair.
- The Chair-elect serves for one year, then as Chair for one year.

Council Committee on Awards Committee:

The Council Committee on Awards Committees (CCAC) shall populate Association-wide awards committees in order to:

- Enhance the value of recognition and strategic relationships
- Spur the growth of volunteer leadership

Membership

- The CCAC shall consist of seven members – the Chair and six additional committee members, one of whom is selected by the committee to serve as Vice-Chair.
- The Chair and committee members serve a one-year term.
- The Vice-Chair serves a two-year term: as Vice-Chair in the first year and as Chair in the second year.
- Committee members are elected by the Council from among all Council members during the Fall Council Meeting.
- The Vice-Chair is selected from among the six committee members by the committee members by a simple majority. The Chair will cast a vote in the case of a tie.
- A maximum of three members of the Board of Directors may be elected to the committee during any one year.
- Members of the Board of Directors serving on the committee may serve as the committee Chair.
- The Vice-Chair may not be in the last year of service on the Council.

Council Ballot Committee

In accordance with the AAA Bylaws and approved Council procedures:

CBC's role is to select two nominated candidates each year, who meet the criteria of the call for nominations approved by the Board of Directors, to serve on the Board of Directors. The candidates' names will be placed on the AAA ballot to be a member of the Board of Directors.

Operations



Policies and Procedures

Title: Council Ballot Committee (CBC) Constitution

Code: COU1001

Team: Governance

Effective Date: 9/24/2011

Approved By: Council

Revision Date:

Policy: This policy outlines the constitution of the Council Ballot Committee (CBC).

- Policies and procedures below were voted upon at the September 24, 2011 Council Meeting in Chicago, IL.

Purpose: This policy gives agreed upon information concerning quorums, candidate information, and campaigning guidelines for members.

Scope: AAA Council

Procedure:

As per a vote taken at the September 24, 2011 Council Meeting, the following procedures shall be followed:

1. **Constitution of the CBC:** Large, face-to-face committee of the whole (excluding Board Members) this year, and then will evaluate the long-term solution.
2. **Quorum:** 60% constitutes a quorum based on current AAA Committee standards.
3. **Candidate Confirmation:** Candidates will confirm their willingness to serve by providing their bio, contributions, and what they hope to accomplish.
4. **Campaigning Guidelines:** Adopt the National Association for College Admission Counseling (NACAC) campaign guidelines and recommendations to adhere to them in correspondence to the nominees.

Revision History:

Revision #	Date	Description of Changes	Requested By:
	MM/DD/YY		

Operations



Policies and Procedures

Title: Council Committee on Awards Committee (CCAC) Constitution, Members, and Package of Policies.

Code: COU1002

Team: Governance

Effective Date: 9/25/2011

Approved By: Council

Revision Date:

Policy: This policy outlines the procedures used for the constitution, membership, and voting procedures for the Council Committee on Awards Committee (CCAC).

- Voted upon by Council at the September 25, 2011 Council Meeting in Chicago, IL.

Purpose: This policy states information regarding the make-up of the CCAC as voted upon by the members of Council.

Scope: AAA Council

Procedure:

As per a vote taken at the September 25, 2011 Council Meeting, the following procedures shall be followed:

1. **Constitution of the CCAC:** CCAC members are selected from all Council members.
2. **Number of Members:** CCAC shall be comprised of seven members
3. **Should we have a Rule about the maximum number of BOD members serving on the CCAC:** Have a rule
4. **Maximum number of BOD members on the CCAC:** 2 or less
5. **Should BOD members be limited from serving as chair?** No limiting rule
6. **Award Committee Chairs:** Chairs are selected by the CCAC members
7. **Package of rest of policies passed:**
 - a. One year terms for all CCAC members with the exception of the Vice Chair who will have a 2-year term for continuity.
 - b. CCAC will be constituted during the Council's first meeting of the year.
 - c. CCAC's schedule to finalize committee appointments should conform with the AAA schedule to populate other committees. At present, most should be completed during or before the Spring Council Meeting, with the remaining finalized during April.
 - d. Virtual meetings may be required to meet CCAC responsibilities.

- e. CCAC should draw from the broad AAA constituency to populate Award Committees, with consideration of prior award winners for expertise.
- f. 60% constitutes a quorum.
- g. Percentage of vote – simple majority.

Revision History:

Revision #	Date	Description of Changes	Requested By:
	MM/DD/YY		

Operations



Policies and Procedures

Title: Council Leadership – Term Length, Voting Privileges and Process

Code: COU1003

Team: Governance

Effective Date: 12/10/2011

Approved By: Council

Revision Date:

Policy: This policy outlines the terms and voting privilege and process of Council Leadership.

- Voted upon by Council at the December 10, 2011 Council Meeting in Atlanta, GA.

Purpose: This policy defines the terms for the Council Leadership (Chair, Chair-Elect, and Past-Chair), as well as their voting rights.

Scope: AAA Council

Procedure:

There will be three leadership positions on Council – Chair, Chair-Elect, and Past Chair. The Chair-Elect will be elected in the Spring each year. That individual will start their term at the end of the Annual Meeting.

As per a vote taken at the December 10, 2011 Council Meeting, the following procedures shall be followed:

Voting Privileges:

- Chair and Past Chair leaders do not vote and the Segment appoints a voting replacement for the Leaders' Council term (in the case of a tie, a Segment would have two votes).

Voting Process:

- There will be contested elections with at least two candidates for the Chair-Elect position
- Nominee materials will be distributed to Council with the Spring Meeting materials.
- Voting will be held during the Spring (normally March) meeting of Council.
- Individuals may be elected as Chair-Elect multiple times, as long as they have experienced at least a 3 year hiatus since the last time they were on the Council Leadership Team.

- The voting process will be as follows:
 - (Number of candidates/2) = X, with rounding up
 - Each eligible Council member votes for X different candidates (ballot invalid otherwise)
 - Keep top X for the next round
 - Stopping point is >50% of votes cast for one candidate

Revision History:

Revision #	Date	Description of Changes	Requested By:
	MM/DD/YY		

Operations



Policies and Procedures

Title: Council Ballot Committee (CBC) Voting Procedures

Code: COU1004

Team: Governance

Effective Date: 12/10/2011

Approved By: Council

Revision Date:

Policy: This policy outlines the voting procedures of the Council Ballot Committee (CBC).

- Procedures below were voted upon at the December 10, 2011 Council Meeting in Atlanta, GA.

Purpose: This policy gives agreed upon voting procedures for the CBC.

Scope: AAA Council

Procedure:

As per a vote taken at the December 10, 2011 Council Meeting, the following voting procedures shall be followed:

- $(\text{Total number of candidates}/2) = X$, with rounding up
- Vote for X number of different candidates (ballot invalid otherwise)
- Keep top X for the next round
- Stopping point is >50% of votes cast for one candidate

The two nominees who receive the highest number of votes will be chosen as the candidates for the Board of Director's nominee slate. The candidate with the third highest number of votes will be selected as the alternate.

If 2 people tie for the highest number of votes, the Council Chair will cast the tie-breaking vote.

The CBC Chair votes in the election. The Council Chair votes only in a tie-breaker situation. The Council Chair-Elect votes only if he/she is also representing a Segment. The Council Past Chair does not vote.

Revision History:

Revision #	Date	Description of Changes	Requested By:
	MM/DD/YY		

Operations



Policies and Procedures

Title: Council Ballot Committee (CBC) Discussion and Election of Nominee that also serves on the CBC.

Code: COU1005

Team: Governance

Effective Date: 11/17/2012

Approved By: Council

Revision Date:

Policy: This policy outlines the process for handling the discussion and election of a nominee that also served on the Council Ballot Committee (CBC).

- Voted upon by the CBC at the November 17, 2012 Council Meeting in Anaheim, CA.

Purpose: This policy states what is to occur during the voting process when a nominee for the CBC is also a current member of the CBC.

Scope: AAA Council

Procedure:

As per a vote taken at the November 17, 2012 Council Meeting, the following was passed:

If a nominee for the Council Ballot Committee is a current CBC member, the following will occur at the time of voting:

- The nominee will leave the room while the CBC discusses his/her nomination.
- The nominee can take part in the discussion of other nominees.
- The nominee is allowed to vote in the election.

Revision History:

Revision #	Date	Description of Changes	Requested By:
	MM/DD/YY		

Operations



Policies and Procedures

Title: Council Ballot Committee (CBC) Chair Term Length and Election

Code: COU1006

Team: Governance

Effective Date: 8/5/2012

Approved By: Council

Revision Date:

Policy: This policy outlines the term length for the Council Ballot Committee (CBC) Chairperson.

- Voted upon at the August 5, 2012 Council Meeting in National Harbor, MD.

Purpose: This policy gives agreed upon term length for the CBC Chairperson.

Scope: AAA Council

Procedure:

As per a vote taken at the August 5, 2012 Council Meeting, the following was passed:

The Council Ballot Committee Chair position shall be a one-year term, with the new Chair to be elected at the following August Council Meeting.

Revision History:

Revision #	Date	Description of Changes	Requested By:
	MM/DD/YY		

Operations



Policies and Procedures

Title: Nominations and Voting Procedure Change Process

Code: COU1007

Team: Governance

Effective Date: April 2013

Policy: This policy creates a written process for the orderly revision of the Council Ballot Committee and Board Nomination Committee voting procedures.

Purpose: This policy outlines process for any proposed changes to the current voting process for the Council Ballot Committee and Nominations Committee, including timeframes for the submission of any changes, as well as responses.

Scope: AAA Board of Directors and Council

Procedure:

The following Nominations and Voting Procedures Change Process are the result of the Nominations and Ballot Committee Task Force submitted in April 2013.

1. Any proposal for change in the nominations processes, including voting processes: (a) can be initiated by a Board/Council member; (b) should be as explicit as possible as to the reasons for a change and the description of the change itself; and, (c) must be submitted for placement on the Board/Council agenda at least 30 days prior to the next Board/Council meeting.
2. The nominations and/or voting issue(s) under consideration at the next Board/Council meeting will not be to vote on a proposed change in nominations or voting processes, but rather to vote on whether to submit the proposal to a committee of the Board/Council to consider the change(s). Should the Board/Council vote not to put the proposal forward that will close the issue until the next round of Board/Council meetings. Should the Board/Council favor consideration of the proposals for change, a committee or committees of the Board and Council respectively will be appointed to consider the proposal(s). The appointed committee will include cross-committee liaison members and may be given a broad charge to consider process change issues generally or as narrow a charge as to consider only the specific issue immediately placed before the Board/Council.
3. The appointed committee(s) must return with their recommendation(s) 30 days prior to the next Board/Council meeting. The committee recommendations will then be placed on the agenda of the next Board/Council meeting. It is at this meeting

that the Board/Council will consider and vote on any recommended change(s) in the nominations process, including voting procedures.

4. If the Board/Council rejects the recommendation(s) of the committee that will close the issue until the next round of Board/Council meetings. If the Board/Council approves any changes, the prior procedures will be removed from the Policy and Procedures Manual and the new procedures placed in the manual.
5. The new procedures will become affective for the next round of nominations and voting only if the changes occur in time for the first call for nominations in the current round. That is, procedures, including voting processes, will not change for the current round of nominations once the first call for nominations is distributed.

Revision History:

Revision #	Date	Description of Changes	Requested By:
	MM/DD/YY		

Operations



Policies and Procedures

Title: Council – Process for Developing Advocacy Positions

Code: COU1008

Team: Governance

Effective Date: March 22, 2014

Approved By: Council

Revision Date:

Policy: This policy outlines the process for developing Advocacy Positions that are to be reviewed by the Advocacy Review Committee (ARC).

- Voted upon by Council at the March 22, 2014 Council Meeting in Scottsdale, AZ.

Purpose: This policy describes how the ARC will receive and screen advocacy proposals, and how Council will provide final approval on all advocacy positions.

Scope: AAA Council

Procedure:

Approval as required per AAA Bylaws (the following two statements are excerpts from AAA Bylaws)

Council Duties: Review for approval all AAA advocacy positions.

Council Standing Committee: Advocacy Review Committee shall review positions forwarded by Association-level committees for suitability to represent an Association-level position. Position papers or letters approved by this committee will be designated as representing official positions of the AAA.

OBSERVATION: Under this structure, the Advocacy Review Committee (ARC) will be the entire Council. However, it is anticipated that the ARC (Council) will designate a subcommittee to complete some of the work envisioned for ARC. The ARC Subcommittee of Council would serve as a liaison between Workgroups and ARC/Council. The ARC Subcommittee of Council would be appointed by the Council Chair, who also designates the chair of the ARC Subcommittee of Council; subcommittee members would serve a two year term (with appropriate accommodations for first year appointments). The ARC Subcommittee of Council will be comprised of eight members.

What is a “position”?

A position is a written statement (paper or letter) that provides a critical analysis of current facts, data, and research literature on an issue or topic of relevance to the AAA and its members. A key feature is that the position statement will present the AAA's stance on the issue or topic.

Who can submit a request for the Council Standing Committee (Advocacy Review Committee) to consider an Association level position on an issue?

An individual member of the AAA, a member of the Board of Directors, a Segment committee, a Segment, or an Association-level committee may submit a request for the Council Standing Committee (Advocacy Review Committee) to consider an Association level position on an issue.

What is the process used to submit a request for the Council Standing Committee (Advocacy Review Committee) to consider an Association level position on an issue?

The requesting unit completes the *Request for Advocacy Position Form* and *Evaluation Checklist* and forwards them to staff at AAA. The *Evaluation Checklist* includes the criteria that will be used to determine if an issue is a candidate for a position statement (paper or letter) by the AAA. The *Request for Advocacy Position Form* and *Evaluation Checklist* are appended to the end of this document.

What are the next steps after a Request for Advocacy Position Form and Evaluation Checklist are received by AAA Staff?

The AAA staff member forwards the *Request for Advocacy Position Form* and *Evaluation Checklist* to the chair of the ARC Subcommittee of Council. The ARC Subcommittee of Council reviews the *Request for Advocacy Position Form* and *Evaluation Checklist* and votes to accept or reject moving forward with the proposal. In order for the proposal to move forward, the ARC Subcommittee of Council needs to have 75% (six) of its members approve the proposal.

If the ARC Subcommittee of Council approves moving forward with the proposal, the ARC Subcommittee of Council will assign the project to a Workgroup (typically composed of an author, reviewers and content advisors) for the development of the proposal. The Workgroup consists of experts in the field (typically 4-6 people), who may or may not be AAA members. The Workgroup oversees the development of positions with particular attention to preserving the integrity of the process. This process should be free from any suggestion of influence by individuals or entities that have an economic or financial interest in the subject matter of the position. Each Workgroup member is required to complete a ***Conflict of Interest Disclosure Form*** that calls for the disclosure of any relevant relationships with or interests in any companies whose products or services are indirectly related to the subject matter of this position.

Once the workgroup reaches consensus (generally after the draft position has been developed and has been through appropriate review by the ARC Subcommittee of Council), the draft position is prepared for a vote by the Advocacy Review Committee (Council). In developing the draft position, the Workgroup should use the following questions to guide the development of the draft position:

- Is the position statement clear?
- Does the main body of the paper provide sufficient information to justify the position statement?

- Does the position paper make a valuable contribution to a field that is relevant to the mission, vision, philosophy, values and the strategic initiatives of the AAA?
- Is the interpretation of the recommendations and research clear?
- Do the references contain substantial relevant citations from the professional and scientific literature?
- Is there an analysis and synthesis of current facts, data and research literature that result in consensus?
- Does the position paper make a valuable contribution to a field that is relevant to the mission, vision, philosophy, values and the strategic initiatives of the AAA?
- Are the implications or recommendations clear, concise, unbiased and adequate as well as useful to relevant stakeholders on how to implement?

Prior to the vote by the Advocacy Review Committee (Council), the Workgroup (or members of the Workgroup) should be available to address any questions of the Advocacy Review Committee (Council). Adoption of the position requires approval by 75% of the Advocacy Review Committee (Council) members.

If the draft position is approved, the draft position is forwarded to AAA staff for appropriate dissemination.

What issues should be considered by members of the Advocacy Review Committee (Council) when voting on a draft position?

This information is incorporated into the *Request for Advocacy Position Form* and *Evaluation Checklist*.

Process for Developing Advocacy Positions of the AAA
Request for Advocacy Position Form

Date:

Requesting Unit:

Contact Information:

Description of Issue/Position and Rationale for Proposed Position.

Objective of the Advocacy Position and Intended Target Audiences.

Key Points (these will serve as the initial outline for the position). For each key point, list any relevant scientific or public policy justification along with appropriate references.

Implementation Recommendations. Identify strategies for promoting the position to key target audiences.

Suggested Workgroup Members and Contact Information

**Process for Developing Advocacy Positions of the AAA
Evaluation Checklist**

What criteria are used to determine if an issue is a candidate for Developing an Advocacy Position of the AAA?

In completing the *Request for Advocacy Position Form*, please indicate how the issue addresses each of the following factors:

- *The issue is an emerging issue which may be controversial or a source of consumer confusion or represents a professional need for clarification.*
- *The issue is one for which the AAA would have credibility.*
- *The issue is relevant to the mission, vision, philosophy, values and the strategic initiatives of the AAA.*
- *A position statement on the issue can be derived from an analysis and synthesis of current facts, data and research literature that results in consensus.*
- *A position statement would provide direction to facilitate appropriate action from members, other relevant stakeholders, and/or the public.*
- *A position statement could serve as an educational document for members, other relevant stakeholders, and/or the public.*

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Operations



Policies and Procedures

Title: Council Meeting Invited Guest Policy

Code: COU1009

Team: Operations

Effective Date: 11/05/2016

Approved By: Council

Revision Date:

Policy: Council Meeting Invited Guest Policy

- This policy outlines the expectations and rules for guests who are in attendance at a Council Meeting.

Purpose: To ensure that Council Meetings can proceed appropriately and with full attention to safe, comfortable and secure environment for all meeting participants. Although transparency is important to any governance process, it is crucial for Council members to be provided the opportunity to have open and frank discussions among themselves, on particular topics, in order to encourage the best decisions possible.

Scope: Invited Guests

Procedure:

1. Council Meeting Guests must be approved by the Council Chair and AAA Professional staff in advance of the meeting.
2. Guests will be introduced at the start of the meeting or at the time that they join the meeting.
3. Guests shall not have the privilege of the floor unless acknowledged by the presiding officer or Chair, unless they have been advised of such privileges in advance of the meeting (e.g.: invited presenters).
4. Guests shall participate for the designated agenda item(s) and will be asked to leave at the conclusion of the discussion or at the end of his/her presentation so that the Business portion of the Council Meeting can proceed.
 - a. AAA Professional Staff will communicate with Guests in regards to the planned Council agenda and timing of the Guest's presentation.
5. Guests shall not participate in discussions pertaining to matters being voted on at a Council Meeting, nor shall they be present when such voting takes place.

6. Interference with the progress of a meeting by a Guest will not be permitted and any Guest(s) who attempts to impede the business of the meeting will be instructed to exit the meeting immediately.
7. No audio or visual, or audio and visual record or transmittal by any Guest of any Council Meeting is permitted without prior written approval by the Council Chair.

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