



INSTITUTE OPERATING PROCEDURES

**Approved by ASCE Board of Direction on
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Revisions prepared by:

**2021 Task Committee on Institute Operating Procedures
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1.0 INTRODUCTION

Since the first two Institutes were formally established on October 1, 1996, the Institutes have become a vital part of the American Society of Civil Engineers (ASCE). The Society continues to transform its approach to technical activities by empowering its Institutes to be responsive, flexible, productive, and entrepreneurial.

ASCE's Institutes are envisioned to be dynamic, semi-independent organizations established to serve the members. Institute membership may include engineers, designers, academicians, researchers, planners, scientists, technicians, students, materials suppliers, contractors, specialty construction personnel, construction managers, insurance providers, project financiers, owners, operation and maintenance personnel, and others who are involved in planning, design, construction, restoration, operation and maintenance activities of our nation's infrastructure.

The ASCE Board of Direction has ceded a measure of control to the Institute Boards of Governors so that they may focus on meeting their member needs and creating member value in their civil engineering specialty area. For continued success and growth, ASCE must continue to empower its Institutes to attract new members, to serve their members, and to actively collaborate with ASCE's Geographic Units as well as form partnerships with non-ASCE organizations in their professional and technical community.

The Institutes are a **key** part of ASCE's health and stability. Institute activities, programs, products, and services generate a significant revenue stream for both the Institutes and the Society. This revenue stream requires that ASCE and its Institutes act as partners to support ongoing activities and create new activities, programs, products, and services. ASCE and its Institutes must be good stewards of their financial resources as the Institute net assets (reserves) are part of ASCE's net assets (reserves). There must always be an atmosphere of mutual trust and effective communication regarding all financial matters to keep the entire organization operating at optimum performance for the benefit of our collective membership.

The original ASCE *Institute Operating Procedures* (IOP) were adopted in 2003 and have served both the Institutes and ASCE well. The original Task Committee recommended that the IOP be periodically revisited. In accordance with that recommendation, the Society's Executive Committee appointed a Task Committee in 2020 to review these procedures and offer recommended revisions. This updated document incorporates the changes recommended by the 2020 Task Committee. Previous revisions occurred in 2016, 2011 and 2007. The rosters of the previous task committees may be found in Appendix A.

Definitions of key terms used within this document are included in Appendix B. A list of acronyms used within this document is included as Appendix C.

2.0 THE ROLE OF INSTITUTES

Institutes are civil engineering specialty area organizations that operate with their own bylaws under the direction of their own boards within the corporate structure of ASCE. Institutes operate in accordance with the Society's Certificate of Incorporation, Constitution, Bylaws, and Rules of Policy and Procedure, and comply with all applicable laws and regulations including, but not limited to, sections 501(a) and 501(c) (3) of the United States Internal Revenue Code.

ASCE looks for its Institutes to focus on developing products and services within specialty areas of civil engineering and work to advance the practice of their discipline globally, while increasing both ASCE and Institute membership. The primary purpose of each Institute is to:

1. Lead in the development and dissemination of new and evolving technology within its specialty area of civil engineering.
2. Serve the membership within its specialty area of civil engineering by delivering additional practice and/or business-related programs, products, and services on a national and global basis.
3. Increase both ASCE and Institute membership with specific focus on the transition of student members to younger members and on recruitment and retention of younger members to secure a sustainable future for both ASCE and its Institutes. Appendix E offers ideas on increasing membership.

Institutes function as semi-independent professional/technical organizations that provide service to their members whose interests are linked to special technical and/or practice areas of the civil engineering profession. Some ways that Institutes fulfill this role include:

1. Conducting meaningful activities, programs, and services for their membership.
2. Supporting ASCE in developing public policies related to each Institute's technical and/or practice specialty area.
3. Entering into cooperative agreements with related organizations to provide improved value.

As semi-independent organizations, Institutes must also:

1. Prepare and implement their annual budgets.
2. Establishing dues schedules for Institute-only members.
3. Develop and maintain their bylaws and policies and procedures consistent with ASCE's Bylaws and Rules of Policy and Procedure.

3.0 ASCE's ROLE

ASCE is incorporated as an educational, scientific, literary, and charitable organization for the purposes of:

1. Advancing civil engineering to enhance the welfare of humanity.
2. Furthering education in civil engineering through publications, conferences, and other forums.
3. Maintaining the highest standards of excellence in education relating to civil engineering.

ASCE assists the Institutes by providing resources, oversight and support including:

1. Providing ASCE staff dedicated to the individual institutes (i.e., Institute staff). The Institute staff are fully supported by ASCE resources (e.g, office facilities, human resources, legal services, accounting services, etc.).
2. Providing access to and appropriate levels of involvement with all of ASCE programs including, but not limited to, Government Relations, Communications, Media Relations, Public Policy, Honors and Awards, Diversity, History and Heritage, as well as Educational, Technical, Professional, and Global Activities.

3. Review and approval of changes to Institute bylaws.
4. Reviewing annual Institute budgets.
5. Making available all appropriate ASCE Departments for interaction, discussion, coordination, teaming, and/or partnering.
6. An up-to-date membership database of Institute membership that includes but is not limited to ASCE-Institute (ASCE members who select one or more Institutes), Institute-Only, Corporate/Company, or other Institute membership categories.
7. Conduct of periodic surveys of member needs and desires as related to their technical and/or practice specialty area.

4.0 COORDINATION OF MEMBER ACTIVITIES

Various ASCE Departments, including Membership, Publications, Continuing Education, and Conferences, are available to assist the Institutes in planning, developing, and implementing activities, programs, and products that benefit members and that enhance the profession in specialty areas. To avoid duplication of effort, and to provide the most efficient use of ASCE and Institute staff and financial resources, the Institutes and these Departments shall communicate continuously.

To the extent practical, Institutes will utilize the capabilities of the ASCE Departments. The Institute Director, in consultation with the appropriate volunteer Institute leadership and ASCE departmental staff leadership, may recommend outsourcing, which must be approved by the senior staff of Engineering Programs and the ASCE Executive Director. Decisions regarding outsourcing should be based on consideration of what is in the best long-term interest of the Institute and Society and should be clearly communicated to all affected parties.

5.0 MEMBERSHIP AND MEMBER BENEFITS

Every member of ASCE shall be entitled to membership in an Institute at the appropriate Institute grade at no additional charge above their ASCE dues. Members wishing to join additional Institutes may do so for an additional fee the amount of which is determined by the Technical Region Board of Governors (TRBG).

Each Institute may determine its Categories of Membership, which are defined by the Institute's bylaws. Institutes are urged to offer membership to all participants in their technical and/or practice specialty area. Institutes may provide innovative membership inducements for all membership categories in coordination with the ASCE Membership Department and other affected departments as appropriate to the inducement. Institutes membership categories shall not include "Distinguished/Honorary Member" as this is an ASCE designation that is only to be given by ASCE.

Institutes establish dues for Institute-Only members and may offer limited ASCE benefits to Institute-Only members as approved by ASCE Board of Direction.

Institutes may offer business, corporate, or organizational memberships, with rights and privileges defined by the Institute's bylaws and in doing so shall seek appropriate guidance to ensure that there is a consistent approach throughout the Society.

To increase membership and to better serve members, there must be a strong linkage and solid communication between ASCE's Membership Department and the Institutes' Membership committees and staff. Institute organized membership campaigns and special offerings shall be

coordinated with the ASCE Membership Department.

6.0 COMMUNICATIONS

There must be a spirit of teamwork and cooperation and clear lines of communication between the ASCE Board of Direction, the Directors from the Technical Region, the TRBG, the Committee on Technical Advancement, the Institutes Boards of Governors, and the Geographic Units. Clear and regular communication is crucial for maintaining mutual trust, respect and creating an understanding of the issues, concerns, and activities of ASCE and each Institute. The Society and Institute boards shall work in harmony to benefit the profession and the Society, to develop products and services that are valued by members, and to solve concerns, issues, and problems, while looking to increase both ASCE and Institute membership.

The leadership of both ASCE and the Institutes are required to meet regularly to discuss matters of concern and to seek opportunities to improve member value. In addition, the Society's President or President-elect and the Technical Region Directors are encouraged to meet with the Institutes' Boards to exchange views on issues of importance.

7.0 ORGANIZATIONAL STRUCTURE AND MANAGEMENT

Each Institute has authority to establish its own internal organizational structure, which may include establishment of committees, executive committees, task committees, divisions, and councils that it considers necessary and appropriate for the efficient and cost-effective operation of its activities.

Each Institute shall periodically review its organizational structure as well as its operating procedures in the interest of providing effective, relevant, and efficient value to members. Institutes are urged to partner with ASCE committees and units, and with committees and units of other Institutes to avoid duplication of effort, and to seek opportunities for synergy.

Boards of Governors provide oversight and direction for Institute activities and lead each Institute. The composition of Institute boards and the methods of selection of governors or directors are determined by each Institute and are included in its bylaws. The ASCE Board of Direction shall appoint an ASCE-Institute member as a voting member to each Institute board. Officers of Institutes must be members of the Institute board, with each Institute determining the titles, duties, method of selection, and terms for its officers as specified in its bylaws.

Each Governor of an Institute is expected to attend the ASCE Leadership Orientation and are encouraged to attend the Presidents and Governors Forum at least once, preferably in the fall prior to their first year as a governor. Attendance at meetings of the ASCE Board of Direction by Institute Governors is welcomed and encouraged.

8.0 INSTITUTE STAFF LEADERSHIP

ASCE employees, subject to ASCE employment policies and practices, serve as staff for Institutes. The Institute staff are led by a senior ASCE staff member, assigned to Engineering Programs, who has the following responsibilities:

1. Guides the activities of each Institute Director/senior Institute staff member, who manage the day-to-day activities of each Institute as established by the Institute board.
2. Assists the Institute boards in preparing each Institutes' budgets and special programs.

3. Works with the staff Director/senior staff member of each Institute to monitor operating revenues, expenses, and income against the budget taking action when necessary to achieve financial goals.
4. Is responsible for staff performance on all Institute activities and annually obtains input on performance from the Institute President.
5. Works with each Institute to determine the level of staffing required for all Institute and technical activities.
6. Works to communicate and coordinate with other ASCE staff departments on common Institute activities.

The senior staff assigned to Engineering Programs will work directly with the volunteer leadership of each Institute on selection, retention and performance evaluation of their respective staff Institute Director/senior staff member.

9.0 RELATIONSHIPS WITH OTHER SOCIETY UNITS

ASCE units offer services and partnership opportunities to the Institutes. All Society units are expected to communicate and cooperate with all other ASCE units to take advantage of their experience and expertise in publications, conferences, continuing education, membership, professional activities, educational activities, government affairs, public outreach, communications, younger member activities, geographic services, diversity programs, and liaisons with ABET, NCEES, AAES, and others.

9.1 Technical Region

The Technical Region of ASCE is comprised of all ASCE members who have chosen to join an institute in addition to their ASCE membership and those members who have chosen to join only an institute. The Technical Region is governed by the TRBG and is comprised of two representatives from each institute and the three Technical Region Directors.

The TRBG serves to coordinate relationships between the Society's institutes and between the Society's institutes and the Society as defined within the TRBG bylaws. In addition, the TRBG has a number of specific responsibilities as defined in the bylaws of the Technical Region.

9.2 Committee on Technical Advancement

Institutes are required to maintain consistent contact and communications with the ASCE Committee on Technical Advancement, and its Committees and Divisions. This interaction is necessary to minimize duplication of effort, to identify activities where cooperation will lead to organizational synergy, and to explore opportunities to cooperate on conferences, continuing education, and other activities.

9.3 Local Groups

The January 2004 report by the Task Committee on Institute Affiliations with Local Groups (TCIALG) defined the operational relationships between ASCE's Institutes, Sections and Branches, and local Technical Groups and helped to guide Institute activities at the local level. Institutes are encouraged to cooperate with Sections and Branches to assist with activities at the local level to enhance service to members and to increase the level of communication, cooperation, and partnerships with discipline-specific local groups. These local groups may be affiliated with ASCE or may be part of another organization that has a partnering arrangement

with an Institute. See Appendix H for ideas on enhancing the collaboration between the Sections, Branches and Institutes.

Local Technical Groups of the ASCE Sections and Branches are encouraged to affiliate with the appropriate Institute as a local Chapter of the Institute. Technical Groups of Sections or Branches which identify as an Institute Chapter remain part of the Section or Branch. A Memorandum of Understanding (MOU) between the Section/Branch, the Institute Chapter and the national Institute board is required. Sample MOU's are available from each Institute – See their websites for additional information on forming an Institute Chapter.

The Institute Chapters shall closely coordinate their activities with each other and the Geographic Units as appropriate to avoid conflicts with activities and over-burdening members. The Geographic Units are encouraged to include Institute Chapter leadership as members of the Geographic Unit Governance Board or as otherwise was customary with the former Technical Groups. This will help ensure improved collaboration and improved value for all ASCE members.

9.4 Student Groups

ASCE's Membership Communities Committee

<https://www.asce.org/communities/committees/member-communities-committee> supports and encourages programs for Student Chapters at colleges and universities for undergraduate civil engineering students. Institutes are encouraged to support ASCE undergraduate programs and to help identify and support Practitioner and Faculty Advisors to Student Chapters. In addition, Institutes may form Student Groups for discipline-specific graduate student activities. Undergraduate students may participate in activities sponsored by Student Groups created for discipline-specific graduate students. However, to avoid duplication of effort, and competition for resources, Institutes that desire to implement undergraduate student groups must jointly develop these programs with the ASCE Membership Communities Committee and may only do so at colleges and universities where an ASCE student chapter does not exist.

9.5 AEI Student Groups and PE exam

The Architectural Engineering Institute (AEI) was established through the merger of ASCE's Architectural Engineering Division and the National Society of Architectural Engineers, a national organization responsible for the development of an architectural engineering exam within NCEES and also having numerous undergraduate student chapters. The terms of the merger carry obligations which are met by the procedures and arrangements contained in this section and are specific to AEI.

9.5.1 Undergraduate Student Chapters: Working with ASCE's Committee on Student Members, AEI may form undergraduate student chapters at colleges and universities that have an ABET-accredited architectural engineering program. The ASCE Committee on Student Members and the AEI will work closely together to support AEI student chapters. Funding for the support of AEI in administering the AEI student chapters will be provided through the budget of the Engineering Programs department.

9.5.2 Curricula and Accreditation:

An AEI liaison will serve on the Committee on Education's Committee on Accreditation (CoA) whose purpose is to recruit, train and assign program evaluators for the accreditation and the

implementation of ABET program criteria. Annual funding for this activity will be provided for through the budget of the Engineering Programs department.

9.5.3 Professional Activities:

AEI has established the Architectural Engineering Exam Committee dedicated to maintaining the Architectural Engineering exam offered by NCEES. Annual funding for this subcommittee and for the necessary relations with NCEES regarding architectural engineering will be provided for through the budget of the Engineering Programs department.

Funding for the Professional Aptitudes and Knowledge (PAK) study for the Architectural Engineering Exam when required by NCEES will be provided for through the budget of the Engineering Programs department.

9.6 Continuing Education Department

ASCE's Continuing Education Department (CED) provides a broad range of learning opportunities in a variety of formats including webinars, in-person seminars, and on-line distance learning. The topics covered span the breadth of the civil engineering profession both technically and professionally. The CED provides the logistical resources for continuing education programs for all of the Institutes.

9.6.1 CED Oversight: Guidance and direction of ASCE's continuing education program is provided by the senior staff person assigned to the Continuing Education program.

9.6.2 Existing offerings: Numerous offerings of the CED existed prior to the establishment of the specialty area Institutes and have been routinely conducted by the CED. Ensuring the quality and value of these offerings is important to both CED and the Institutes. To that end, an Institute may have an individual audit any course, new or existing, within its specialty area at no charge to the Institute. Appendix F outlines the process for conducting an audit.

9.6.3 New offerings: Institutes are strongly encouraged to develop new CED opportunities as it is important to the entire organization that there is a continual influx of new course offerings, that a sufficient market exists for these offerings and that the offerings are of an acceptable level of quality. Appendix F outlines the process related to new offerings.

10.0 RELATIONSHIPS WITH OTHER ORGANIZATIONS

Institutes are encouraged to partner with other organizations in similar or complementary specialty areas. The purpose of these relationships is to provide a stronger presence in the profession, to carry out activities of mutual concern and interest, to work on joint products and services, and to provide more efficient and cost-effective activities by sharing resources. Before undertaking any joint activity or service program, an Institute must have a Project Agreement or MOU that outlines the roles and responsibilities of the organizations, as well as how risk, revenues, expenses, and income will be shared. Past MOU's and Project Agreements are available from the senior ASCE staff of Engineering Programs and other Institutes. The Agreement and/or MOU shall be submitted for review and approval to the senior staff assigned to Engineering Programs and ASCE General Counsel.

11.0 CODES AND STANDARDS

The American National Standards Institute (ANSI) accredits ASCE for the development of standards, which means that ANSI has reviewed ASCE's rules and procedures for standards development and concurs that they will meet ANSI's requirements for a consensus process. The Institutes develop standards under ASCE's accreditation.

To meet ANSI accreditation, the ASCE Codes and Standards Committee (CSC), which operates as a committee of CTA, provides oversight of ASCE's standards-writing activities by directing the administration of the rules, setting policies and guidance on the implementation of the rules, ensuring that ASCE's accreditation is maintained with ANSI, and adjudicating any appeals that may arise in the development of standards. The senior staff assigned to Engineering Programs is responsible for CTA, CSC and for all codes and standards activities in the Institutes.

Standards development directly benefits the engineering profession by establishing and communicating specific knowledge on a subject that was developed by a broad consensus. Government entities routinely require the use of consensus-based standards, which makes these documents important to the public's health, safety, and welfare. Institutes are encouraged to promulgate standards within their specialty area through ASCE's accredited program and, where practical, to partner with one another or with another organization.

12.0 EVALUATION

The ASCE Board requires ongoing review and evaluation of Society activities, including Institutes. In FY 02, the Board's Program Committee developed and implemented a Program Assessment and Evaluation System (PAES). In lieu of participating in PAES, Institutes undergo a periodic peer review.

The TRBG conducts a peer review evaluation process of the Institutes. On a rotating basis, approximately once every three years, each Institute provides the TRBG with a detailed presentation of their activities including an overview of their financial performance and their membership history. Areas of success, needed improvement, and potential new opportunities are reviewed and specific recommendations provided as deemed appropriate. Institutes are encouraged to use the peer review as an opportunity to learn from their fellow Institutes, develop partnerships and explore new opportunities.

Peer reviews of the Institutes are conducted by the TRBG on a rotating basis and should include, at a minimum:

- Institute leadership
- Institute's historical finances
- Institute's historic membership
- Institute's organizational structure
- Alignment of the Institute's strategic plan with the Society's
- Significant activities of the Institute
- Challenges of the Institute
- Opportunities/Activities for Collaboration (Sections, Branches, Other Institutes, etc.)
- Membership recruitment and retention

13.0 FINANCE

The Institutes operate within ASCE as semi-independent organizations with their own governance and financial activity. Institute activities, programs, and products generate revenue for both the Institutes and ASCE. ASCE provides infrastructure and support for Institute operations.

When a new Institute is created, the ASCE Board of Direction may choose to have the Institute operate on a provisional status for some specified period of time or until some specific goals or metrics have been reached. When operating under a provisional status the budget for the Institute remains a part of the ASCE Engineering Programs budget and the provisions of this section are not applicable unless otherwise explicitly permitted.

The following describes the financial arrangement between the Institutes and ASCE. Further, it is recognized that special issues and circumstances may arise that may be subject to special dispensation from the Board of Direction

13.1 Base Funding

Base funding – ASCE provides each Institute annual base funding equal to 333 times the ASCE full-member annual dues rate in effect as of September 30 of the previous fiscal year. For example, for fiscal 2017: $333 \times \$240 = \$79,920$.

Start-up subsidy – ASCE provides a start-up subsidy to new Institutes for additional support in their first three years. The subsidy is in addition to base funding and equals percentages of base funding: of 50% for year one, 33% in year two and 17% in year three.

13.2 Member Dues

Portion of ASCE-Institute dues – In addition to annual base funding, ASCE provides each Institute annual funding equal to 7.25% of the ASCE full-member annual dues rate times the number of ASCE members who have selected the Institute as their primary or additional Institute(s) as of the end of the previous Membership year (December 31). The member count only includes those individuals from whom dues were collected (i.e. Members, Affiliate Members, Associate Members, etc.) and does not include those who are exempt from paying dues (e.g. Student Members, Life Members and Distinguished Members).

Institute-Only dues – Each Institute sets the dues rate for individuals who choose to be Institute-Only members and not members of ASCE. The full amount of Institute-only dues is attributed to the Institute.

Institute Corporate Membership – Institutes may have arrangements through which businesses become members and receive certain benefits for a fee. If individual memberships or products are included in the arrangement, the Institute must coordinate with the ASCE Partners Program staff. Revenue from corporate membership that includes no ASCE individual memberships, products or services is fully attributed to the Institute. For memberships and products included in the arrangement, revenue on specific memberships and products is earned by the Institute based on the terms stated herein.

13.3 Institute Activities

13.3.1 Journal subscriptions – Institutes receive ten percent (10%) of gross revenue generated by journals assigned to the Institute. Gross revenue includes a proportionate share of the “Alls Journal” revenue and sales of individual journal papers.

The Geo-Institute earns fifty percent (50%) of annual net revenue from Geo-Strata magazine.

13.3.2 Books, Standards and Proceedings sales – Institutes receive a minimum of ten percent (10%) of gross revenue generated by Institute-sponsored books, standards and proceedings and other like products sold by ASCE regardless of the format (hardcopy, eBook, ala carte sale, collections, etc.). Institutes receive fifteen percent (15%) of gross revenue generated by Institute-sponsored books, standards and proceedings and other like products sold by ASCE when lifetime sales exceed 1,500 copies. ASCE has the right of first refusal for publication and sale of all Institute publications.

The ASCE Publications Department publishes conference proceedings for Institutes and charges the Institutes an agreed-upon price for copies for conference participants. The price charged shall be at least a 50% discount to the list price, which is the price charged by ASCE for sales to nonmembers.

13.3.3 Continuing Education programs –An Institute receives a percentage of the gross revenue generated by continuing education programs branded to an Institutes and offered by the ASCE Continuing Education Department as provided below. Upon mutual agreement, the percentages provided below may be increased based upon the development/marketing/sales efforts of an Institute. ASCE Continuing Education has the right of first refusal for production and distribution of all Institute continuing education programs.

Webinars: Institutes shall receive 10% of the gross revenue generated by live or on-demand webinars or as negotiated.

Seminars: Institutes shall receive 10% of the gross revenue generated by live seminars.

Guided On-line Courses: After ASCE has recouped the development costs, Institutes shall receive 10% of the gross revenue generated by guided on-line courses and certificate programs.

Products not covered: For products not covered herein, the senior staff of Engineering Programs and Continuing Education shall establish a revenue sharing agreement.

13.3.4 Conferences – Institutes may be involved in conferences in three different ways.

Managed by Institute – For conferences in a specialty area that are completely conducted by an Institute: a) 5% of the gross sales of conference sponsorships and exhibits shall be retained by the ASCE Sales Department to support an additional sales person required by the increase in Institute events; b) 10% of the conference registration fees shall be paid to the ASCE Conference and Event Services Department for the support provided to the event by ASCE core services such as site selection, contract negotiation, registration system and reports, financial support, conference website and customer service support. The support fee shall be reduced to 5% for an all-virtual event. All revenue and expense of the conference are recorded directly to the respective Institute’s

accounts.

If the ASCE Conference Department provides management services for the conference, the ASCE Conference Department will provide the Institute with a proposed fee for an agreed-upon level of service. The fee is based on the anticipated staff level of effort times actual staffs pay rate, plus fringe benefits, and Conference Department overhead. The Institute and Conference Department will agree on a fee in advance of the conference. If the Institute requests additional services from the Conference Department the agreed-upon fee may be changed to reflect the new scope. The updated fee must be agreed upon in writing by the Institute before either the additional services or the amended fee can occur. Conference management may be outsourced in accordance with Section 4.0 of this document. An ASCE Specialty Conference Handbook is available to assist in organizing and executing a conference.

- **ASCE Conferences** -- For significant participation in the ASCE Annual Conference or other non-Institute specific conference, each Institute may earn a negotiated portion of the revenue.
- **Partnerships with other organizations** – For conferences conducted in partnership with other organizations and managed by Institutes or the partnering organization, the Institutes earn revenue and incur expense based on the arrangement with the partnering organization.
 - **OTC, Brazil and Arctic Conferences** – Proceeds from these externally managed conferences are shared eighty percent (80%) to ASCE and twenty percent (20%) to COPRI.

13.3.5 Grants and Contracts – Institutes are encouraged to obtain government or private grants for appropriate activities to advance the profession. These activities shall be coordinated through the ASCE Grants and Contracts Department. Direct expense and corresponding revenue for grants and contracts are recorded directly to the respective Institute's accounts. Payments received for indirect costs under these arrangements are recorded to ASCE to cover administrative costs as determined prior to the execution of the grant or contract.

13.3.6 Other Activities – Institutes may generate revenue from sources other than described herein. These revenues are earned by and recorded to the Institute's accounts.

13.4 Fundraising

The ASCE Foundation manages fundraising activities of ASCE, its affiliates and Institutes. The Institutes are required to coordinate their fundraising efforts with the ASCE Foundation so as to not duplicate effort and ensure that fundraising efforts are closely coordinated.

- **Unrestricted Contributions** – Institutes may solicit general contributions from their members using a check-off on the ASCE annual dues renewal form or by direct solicitation. These contributions are recorded as unrestricted contribution revenue to the Institute.

- **Restricted Contributions** – Institutes may receive donor-restricted contributions from their members and others either through the ASCE annual dues renewal form or by direct solicitation. Donor-restricted means that the donor specifies that the funds are to be used in a specific way or for a specific purpose, such as for scholarship and awards funds. These funds will be maintained separate from the unrestricted funds of the Institute and can only be spent based on the donor’s directions.

If donor-restricted contributions are received for Institute activities that are also funded by unrestricted funds, the restricted contributions are spent first in conformity with generally accepted accounting principles.

13.5 ASCE Support and Institute Expenses

Labor – All personnel assigned to the Institutes are employees of ASCE and are governed by ASCE’s human resources policies. Employees assigned as Institute staff charge their time to their respective Institute using ASCE’s time reporting system. Employees assigned to multiple Institutes charge time worked to the appropriate Institutes. Through this system, actual salaries are charged to the Institutes for time worked. Actual fringe benefits are charged to Institutes using a fringe rate.

Administration and General Support – ASCE provides the Institutes with infrastructure necessary for them to conduct their business. There is no specific charge to the Institutes for this service. This includes full-service office space, furniture and equipment, phone service, information technology resources, web sites, accounting, human resources, legal, copier, in-house printing services, mail service, insurance and other routine services.

Institute Direct Expenses – As semi-independent organizations, the Institutes receive support from ASCE, as described above, and incur their own direct expenses. All direct expenses are charged to the Institutes’ accounts. Examples are travel (in compliance with ASCE’s travel and business expense reimbursement policies), meetings, consultants, office supplies, telephone charges, memberships, outside printing, postage and advertising.

13.6 Net Assets (Reserves)

Building Net Assets (Reserves) – Each Institute may accumulate unrestricted funds as net assets (reserves) that are designated for their exclusive use.

Revenue-Sharing – When an Institute’s accumulated unrestricted net assets (reserves) at the end of a fiscal year exceed 50 percent (50%) of its average Annual Expenses (as defined below) for the past three years (including the year for which the calculation is being made), the Institute in consultation with the TRBG shall establish an expenditure plan for the excess funds. In the absence of an expenditure plan, at the discretion of the ASCE Board of Direction, the excess funds shall be returned to ASCE. Annual Expenses include expenses recorded in the Institute’s accounting records plus the Institute’s proportionate share of expenses for conferences held in partnership with and accounted for by other organizations in which the Institute exercised their fiduciary responsibility.

Donor-restricted Funds – Contributions that are received from donors who specify that the funds are to be used for a specific purpose are held in restricted net asset funds. They may only be spent in accordance with the donor’s specifications. These funds and related expenses

are not included in the Revenue-Sharing computation above.

13.7 Planning and Budgeting

ASCE prepares an annual budget that is approved by its Board at its summer meeting for the next fiscal year ending September 30. The ASCE budget includes a section for Institute budgets. Each Institute is required to prepare and approve its annual budget in a timely manner and submit to ASCE by the date specified each year for inclusion in the ASCE budget. The senior staff assigned to Engineering Programs and the ASCE Finance Committee reviews, and the ASCE Board approves the Institute budgets on a general basis in their evaluation of ASCE's total budget.

In preparing their budgets, the Institutes should manage their annual activities and expenses so as to not consistently or excessively exceed their annual revenues and to build and maintain a strong and reasonable level of net assets (reserves). The Institutes are required to use a strategic planning process to plan activities and budgets to ensure financial stability is maintained.

Net assets (reserves) are maintained to provide for years with negative operating results, seed funding for new activities, accumulation of funds for major expenditures, and contingencies. Institutes should seek opportunities in which to invest their net assets (reserves) that serve to advance and benefit the profession, their Institute and the Society as a whole. Ideally these activities would serve to also build the financial strength of the Institute and the Society. Institutes are encouraged to maintain a minimum level of net assets (reserves) of 25% with an annual target of 35%.

Institutes should prepare budgets with contingent programs that could be implemented should the Institute's net assets (reserves) exceed the net asset limit defined above. Changes to Institute budgets within a fiscal year that are within approved contingent programs do not require further approval.

APPENDIX A

2020 TCIOP Membership

Mark Woodson, PE, LS, F.ASCE, D.WRE(r), ENV SP(r),
Pres.16.ASCE, Chair
Tony CG Lau, ENV SP, P.E., F.ASCE
Maria C. Lehman, P.E., F.ASCE
Robert L. Cagle III, P.E., F.ASCE
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William M. Camp, III, PE, D.GE
Brian D. McKeehan, P.E., ENV SP, F.ASCE
Staffed by: James A. Rossberg, P.E., F.SEI, M.ASCE

2016 TCIOP Membership:

Andrew W. Herrmann, P.E., SECB, F.SEI, Pres.12.ASCE, Chair
Jean-Louis Briaud, Ph.D, P.E., D.GE, Dist.M.ASCE
F. Jay Burress, P.E., ENV SP, F.ASCE
James R. Harris, Ph.D., P.E., F.SEI, NAE, M.ASCE
Karen C. Kabbes, P.E., D.WRE, ENV SP, M.ASCE
Randall M. Perkinson, P.E., P. Eng., F.ASCE
Robert D. Stevens, Ph.D, P.E., Pres.15.ASCE
Melissa S. Wheeler, M.ASCE
Staffed by: Peter Shavalay, CPA, John Durrant, P.E., F.ASCE and James A. Rossberg,
P.E., M.ASCE

2011 TCIOP Membership:

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Ronald M. Noble, P.E., D. CE, D. PE, F.ASCE
David M. Schnurbusch, P.E., F.ASCE
Ronald Smith, Ph.D, P.E., D.GE, M.ASCE
Robert D. Stevens, Ph.D, P.E., F.ASCE
John Tawresey, P.E., M.ASCE
Michael Wenning, P.E., F.ASCE
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2007 TCIOP Membership:

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Robert Costigan, Chair, Ph.D., P.E., M.ASCE
Andrew Herrmann, P.E., SECB, F.SEI, Pres.12.ASCE
Robin Kemper, LEED, AP, P.E., F.ASCE, F.SEI
Michael Ports, P.E., D.WRE, D.NE, BCEE, F.EWRI, F.ASCE
David Mongan, P.E., Pres.08.ASCE, F.ASCE
Stan Caldwell, P.E., SECB, F.AEI, F.SEI, F.ASCE

Moustafa Gouda, P.E., D.E, F.ASCE
Mark Woodson, P.E., L.S., D.WRE, F.ASCE
Stein Sture, Ph.D, F.EMI, Hon.D.GE, Dist.M.ASCE
Staffed by: Larry Roth, P.E., G.E., D.GE, F.ASCE and John Durrant, P.E., F.ASCE

2003 TCIOF Membership:

Chuck Rendall, P.E., L.S., F.ASCE ,Chair
Bob Bein, P.E., L.S., Pres.01.ASCE
Maria Lehman, P.E., F.ASCE
David Mongan, P.E., Pres.08.ASCE, F.ASCE
John Donohoe, P.E., M.ASCE
Alan Macnab D.GE, G.E.
Dennis Tewksbury, P.E., F.SEI, F.ASCE, Consultant
Jeff Bradley, Ph.D, P.E. D.WRE, F.ASCE
Max Porter, Ph.D, P.E., F.SEI, Dist.M.ASCE
John Tawresey, P.E., F.SEI, F.ASCE
Staffed by: Larry Roth, P.E., G.E., D.GE, F.ASCE and John Durrant P.E., F.ASCE

APPENDIX B

DEFINITIONS FOR INSTITUTE OPERATING PROCEDURES

ACTIVITIES: The functions of an Institute that provide member and/or professional value. Activities include programs, products, and services. Activities (revenue and non-revenue generating) can include, but not be limited to, conferences, expositions, publications and other printed materials, workshops, seminars, symposia, continuing education offerings, specialty certification, sale of intellectual property, collaborative summit meetings on professional issues with aligned organizations, international cooperation, student interaction, younger member interaction, governmental and regulatory affairs, and local group interaction.

ACTIVITY BUDGET: A document that identifies the costs for planning, developing, marketing, and delivering an Institute activity. This document includes anticipated revenue, expenses, and income to be generated from the activity. During the life of this financial document, which may be multi-year, periodic reviews and adjustments will be made as necessary including terminating the activity to cut losses, if necessary.

ACTIVITY MANAGER: The Activity Manager is responsible for the planning, development, marketing, and delivery of an Activity, and is responsible for maintaining the approved budget for the Activity. The Activity Manager may be an Institute Director or designee, a staff member of an ASCE Department, or a volunteer member.

ACTIVITY PLAN: The Activity Plan is a written document that identifies the Activity Manager, indicates the members of the activity team, as well as assesses the need, competition for, implementation, anticipated membership support, value to membership and/or the profession, schedule, and budget.

AFFINITY PROGRAM: A program, exclusive to members, that offers a service such as insurance or branded credit cards. Institutes may offer full ASCE benefits to Institute-Only members who pay full ASCE dues. Within guidelines established by ASCE, Institutes may offer limited ASCE benefits to Institute-Only only members who pay less than full ASCE dues.

ANNUAL EXPENSES: Includes expenses recorded in the Institute's accounting records plus the Institute's proportionate share of expenses for conferences held in partnership with and accounted for by other organizations in which the Institute exercised their fiduciary responsibility.

CODE: A collection of laws, regulations, ordinances, or other statutory requirements that establishes the minimum acceptable requirements necessary for preserving the public health, safety, and welfare in the built environment. These minimum requirements are based on natural scientific laws, on properties of materials, and on the inherent hazards of climate, geology, and use of the built facility. Provisions in standards that are adopted by reference by into a code must be developed using a definitive set of rules and procedures and must be submitted to a consensus process. Consensus developed standards are frequently adopted by a governmental entity.

CONFERENCE: A meeting generally two or more days intended for people with a similar discipline interests. A conference provides sessions and tracks that cover more than one subject matter. Sometimes these conferences are entitled Specialty Conferences or

Congresses.

CONTINUING EDUCATION OFFERING: Any course of study, seminar, workshop, meeting or symposia that contains technical content acceptable for issuance of CEU's (Continuing Education Units) or PDH's (Professional Development Hours). Offerings may be in-person with speakers, lecturers, instructors, or may be delivered on-line or via other new technology.

DIRECT EXPENSE: Expense that can be traced directly to a specific activity or group of activities.

DONOR-RESTRICTED FUNDS – Contributions that are received from donors who specify that the funds are to be used in a specific way or for a specific purpose are held in restricted net asset funds. They may only be spent in accordance with the donor's specifications.

DUES: An annual amount of money assessed the members of an organization. Dues must be paid to maintain membership in the organization.

GRANT: A sum of money that is provided by an outside entity or agency for purposes of studying or researching, reaching conclusions and recommendations, and reporting on a particular topic. Administration costs are usually included in the grant amount. A grant can also be given to an organization to plan and implement a program on a specific subject matter.

NET ASSETS (Reserves): Money accumulated over time.

NET REVENUE: Money that remains when an Institute's total expenses are subtracted from the Institute's total revenue.

INDIRECT EXPENSE: Any expenses not directly identified with an activity, program, product, or service, but which are attributed to the development and implementation of several activities, programs, products, or services within an organization (Sometimes referred to as "overhead").

INSTITUTE BUDGET: A document that contains the anticipated annual revenues, expenses and net assets (reserves) of an Institute.

INSTITUTE DIRECTOR: An ASCE employee assigned the responsibility to manage the activities and budgets for an Institute.

INSTITUTE STAFF: ASCE employees assigned to an Institute.

INTELLECTUAL PROPERTY: Represent the creations of the human mind, including patents, copyrights, trademarks, or trade secrets. Items that specifically pertain to Institutes include publications, logos, and websites that are intellectual property of ASCE.

JOURNAL: A publication of discipline- or practice-specific papers that have been written as a result of research, studies, or investigations. Submitted papers are subject to a refereed review process before acceptance for publication.

LOCAL GROUPS: Local groups refer to ASCE Sections and Branches and their Technical Groups, or to Technical Groups that are directly aligned with an Institute. Local groups can also include local groups of partnered organizations that encourage interaction with ASCE local units.

MANAGING DIRECTOR OF ENGINEERING PROGRAMS: An ASCE employee with the responsibility for managing the functions and staff of assigned ASCE Technical Units.

OVERHEAD: The indirect expenses such as, but not limited to, salaries, fringe benefits, rent, equipment, utilities, maintenance, etc., incurred for several or multiple activities, programs, products, or services.

Public Policy: The term “public policy” encompasses all activities of the Government Relations Department including lobbying, the fly-in, key contacts, regulatory work, state GR, public policy statements, position papers and resolutions. Institutes should refer to the most recent copy of the ASCE Bylaws and Rules of Policy and Procedure for additional information, as well as the ability of an Institute to use Society policy documents, and to develop and use its own policy documents.

PRICE: The amount of money charged for a product or service, which takes into account the expenditures required to plan, develop, implement, and deliver the activity as well as providing for net revenue resulting from the activity.

PROCEEDINGS: A publication, hard copy or electronic, that contains a record of papers and/or presentations given at a Conference.

REVENUE: Money earned by an Institute before expenses are deducted, in conformity with generally accepted accounting principles.

RISK: The chance of incurring a loss (or profit) on an activity.

SOCIETY UNITS: All organized staff and member entities of ASCE.

SPECIALTY CONFERENCE HANDBOOK: An ASCE developed handbook designed to guide the initiation, planning, execution, management, and close-out of all specialty conferences. This handbook is also intended for specialty conferences that sometimes go by other names, for example a congress or convention. Though specific reference is made throughout this handbook to CTA and the Institutes, it is also applicable to specialty conferences organized by other ASCE board level committees.

TEAM: A group of people assembled to plan, develop, and implement an Institute and/or ASCE Activity. Members of a TEAM may include, but are not limited to ASCE Department Staff, ASCE Staff assigned to Institutes, Institute-ASCE Members, Institute-Only Members, Members of ASCE and/or Institute Partnered Organizations, and/or Outsource Companies.

UNRESTRICTED NET ASSETS (RESERVES): Money accumulated over time that are not restricted by donor-imposed stipulations.

VOLUNTARY CONTRIBUTION: Money donated to the organization to assist in its funding activities.

APPENDIX C

AEI – Architectural Engineering Institute

CAP – Committee on Advancing the Profession

CEC – Civil Engineering Certification, Inc.

CED – Continuing Education Department

CI – Construction Institute

COPRI – Coasts Oceans Ports and Rivers Institute

CSC – Codes and Standards Committee

CTA – Committee on Technical Advancement

G-I – Geotechnical Institute

E&LL – Engineering and Lifelong Learning

EMI – Engineering Mechanics Institute

EP – Engineering Programs

EWRI – Environmental and Water Resources Institute

IOP – Institute Operating Procedures

MCC – Members Communities Committee

NCEES – National Council for Examination of Engineers and Surveyors

OTC – Offshore Technology Conference

PAK – Professional Aptitudes and Knowledge

SEI – Structural Engineering Institute

T&DI – Transportation and Development Institute

TRBG – Technical Region Board of Governors

TCIALG – Task Committee on Institute Affiliations with Local Groups

TCIOP – Task Committee on Institute Operating Procedures

UESI – Utility Engineering and Surveying Institute

APPENDIX D

To gain an increased understanding of the many perspectives on the operations of the Institutes, the members of the 2021 TCIOP conducted virtual interviews with all of the Geographic Region Directors, the Technical Region Directors and the Presidents of each Institute. TCIOP endeavored to have a member with an institute background and a member with a geographic background participate in each interview.

To help frame the discussions, each interviewee was provided with following questions in advance and some chose to provide comments in writing:

1. How familiar are you with the current IOP?
2. Do you consider it neutral/fair as opposed to favoring one party over the other?
3. Are improvements needed?
4. Are there specific examples that create problems?
5. What changes do you recommend?

And more broadly,

6. How can ASCE grow our membership?
7. How can ASCE increase non-dues revenue?
8. Do you like the current Institute – Geographic Region model?

The interviews resulted in 21 pages of comments that are categorized below and subsequently distilled by TCIOP to the following five priorities:

		TCIOP member votes				
1	Get more members	X	X	X	X	X
2	Recruitment and Retention	X	X	X	X	
3	Collaboration		X	X	X	X
4	Update funding formula	X		X		
5	Allow Reserve buildup		X			X

Key Comments from Leadership Interviews

Legend: **Bold Text** = frequently heard Blue Text = opposing views

General Operations:

- **Collaboration is important, needs to increase - incentivize.**
- **Opportunities for Chapters and S/Bs to work together are being missed.**
- Unity (one family), Alignment of objectives.

- Institutes need to leverage ASCE initiatives. *Also - ASCE message is top down and lacks institute input.*
- Institute policy committees should be linked with ASCE policy committees for alignment.
- Beware of stepping on toes – e.g., both ASCE and Institute soliciting sponsorship from a firm
- Institute flexibility, autonomy is good but needs to be balanced with ASCE
- **Virtual meetings have created more opportunities for engagement and collaboration.**
- Move Institute Chapters out of S/Bs – align them with the Institutes. *Also - Alignment of chapters with their S/B is very important and advantageous*
- Some perceive Institute Chapters to be independent of S/Bs – has created animosity.
- Some Region Governors don't think the institute funding model is fair – institutes are perceived to get more dollars per member than S/Bs.
- Institutes are siloed and lack incentives to collaborate with regions.
- Eliminate institute chapters – only one ASCE at local level.
- Institutes should hold specialty conferences and increase publications – don't duplicate ASCE programs (e.g., students). *Also - Institutes don't just do technical work*
- Change name of Technical Region
- Why do Technical Groups still exist? Why aren't they with an institute?

IOP Specific:

- **Current IOP is fine, balanced, not an obstacle (from leadership perspective, members without governing experience may not see it as such)**
- **Institute base funding formula too simple – needs to consider other things to reflect the differences between the institutes**
- **Institute only membership – important, good (also Institute only membership – bad)**
- Dues and base funding considered a given, not an incentive.
- Base funding should be goal-oriented.
- Institute interaction with Academies and Technical Groups not addressed by IOP.
- Revise Reserve provisions to allow flexibility for future activities – e.g., a plan to gradually spend down reserves for a good reason.
- Continuing education needs work – technical education should reside with the institutes, more effort by Institutes should result in more return to Institutes, ASCE continuing ed needs to modernize and streamline.
- Address how funding cuts are implemented when needed.
- IOP should clearly state what the mission/role of the Institutes is.

- Ability to partner is good

Membership:

- **Hard to recruit members away from another association – need to get them early in their career.**
- **Recruit younger members - academic members are influential, institute awareness lacking, student chapters need to know more about institutes.**
- **Nurture institute-student relationships, institute presentations/materials to student chapters, “Very few Civil Engineers are general purpose.”**
- Student chapters and GSOs could be better coordinated/leveraged.
- Hierarchical ladder turns off millennials – they want community.
- Focus on membership growth to increase diversity (dues growth not the driver)
- **Value of ASCE not being recognized** – more promotion needed, Senior leadership in firms is key,
- promote value of Fellow, Distinguished Member, prestige is better recognized internationally as compared to US.
- Push affiliate membership
- ASCE is more than the concrete canoe – hard to get over that perception .
- Incentivize institutes to grow membership.
- Coordinate membership drives with institutes.
- Regions need help to promote the value of the institutes.

Revenue:

- Create advisory board of powerful industry leaders – membership to those that fund
- digital technology
- raise conference registration
- more focus on getting sponsors
- entrepreneurial opportunities
- more technical tools/resources for members (e.g., materials more useful for Architects than AIA documents)
- generate valuable technical materials, more content to sell
- certification programs (revenue and member growth)

Other:

- Equivalent of an IOP for Regions and other ASCE entities?

- Are there other ASCE entities that can operate more like Institutes
- ASCE structure is already very complicated and hard to explain/understand – don't do anything that adds complexity.
- Region 10 members don't know about the Institutes

APPENDIX E

How Can the Institutes Enhance Membership Recruitment and Retention?¹

ASCE TCIOF Subgroup on Membership²

Institute Board- Level Focus on Membership

- Membership recruitment and retention should be one of the primary goals of each institute and be actively managed and tracked by each board of governors.
- Membership recruitment and retention should be a recurring agenda item for TRBG meetings. Institutes should share success stories at TRBG meetings.
- Align ASCE Board goals with Institute BoG goals.

Person-to-Person Outreach

- There are many ways to recruit and retain ASCE members. Individual person-to-person outreach is one of the strongest.
- All ASCE members, including institute members, and particularly institute leaders, should consider outreach for membership recruitment and retention one of their primary ASCE responsibilities.
- Institutes should adopt individual programs and expectations for their members' roles in membership.
- Enhance programs that reward members for recruiting other members.

Institute Activities May Appeal to a Particular Type of Member

- People become and stay ASCE members for a variety of reasons. The institutes offer a special value proposition for members who enjoy technical work and codes and standards. development. The opportunity to engage with institutes SME's is a strong draw for some.
- One method used successfully to recruit institute focused members is to invite nonmembers to join institute committees but let them know they need to be ASCE members to join a committee.
- Cross disciplinary nature of ASCE is a competitive edge in recruitments. Highlight institutes as a part of this.
- Institutes create opportunities for those interested in a highly focused ASCE activity.

Collaboration with Regions, Sections, and Branches

- Region, Section, and Branch leaders can better highlight the descriptions, roles, and activities of institutes in their presentations on ASCE.
- Institute leaders can offer to participate with RSB leaders in such presentations.
- Seek a way to advertise institute volunteer opportunities across all institutes.
- Need to engage the S/B leaders more with institute local organizations.

¹ Ideas inspired by (1) TCIOF interviews of region and institute leaders performed in fall 2020, (2) a SWOT analysis prepared by Loretta Cranbourne, and (3) materials provided by Tony Lau from his experience in Region 8.

² Glenn Bell, Maria Lehman, Tony Lau

- Section and Branches should invite noteworthy institute speakers to make presentations at their events.³
- Institutes should help bring client speakers into Section and Branch events.

Younger Members

- Institutes enhance mentoring of younger members.
- Invite Younger Members to participate in committees and provide them with a specific role.
- Enhance institutes' use of social media.
- Lists of recently licensed engineers is an opportunity for institutes to recruit.

Students

- Enhance students' exposure to sections and branches – ideas below. Students are still learning what they are interested in, and institutes can help.
- Institute local leaders (chapters) can work with local ASCE student chapters to engage in events, offer glimpses of what various institutes' professionals do, offer students help and resources such as resume building advice, engage in capstone projects, and perhaps engage students in "research-type" assignments.
- Institute local chapters can engage with institute graduate student chapters (GSC) to both participate in technically oriented events but also to help graduate students bridge to practice (resume building, company information, connections, etc.).
- Engage deans and department chairs in university programs to enhance recruitment or "conversion" of younger members.

ASCE Members Who Have Not Declared an Institute

- Many ASCE members have not declared an institute. Surveys have shown that some who have joined an institute don't know what institute they belong to and/or are unaware of what their institutes does. There is an opportunity to enhance prospects for retention of such people by encouraging them to engage in one or more institutes.

Company Engagement

- Either through their national or local organizations, institutes can appeal to company leadership to support ASCE membership. Need to articulate a company value proposition for company leaders.
- ASCE presentations to company staff has been effective. Could do the same with institutes for specialty firms.
- Need better "tools" for institutes to make recruitment presentations that are for ASCE membership⁴ but with an institute focus.

Non-Traditional Members

³ The Denver Branch has a successful program of inviting nationally known institute members to present to their meetings on a monthly basis.

- By their practice and technical orientation, institutes offer a special opportunity to attract members from non-traditional disciplines that are associated with things ASCE does (e.g., architects and mechanical engineers in AEI; mechanical engineers in dam design). Institutes can use Associate Membership, Affiliate Membership and Institute-Only Membership for this purpose. Institutes can partner with strategic related associations to enhance this.

APPENDIX F

New Continuing Education Offerings and Audits

The process for reviewing and approving a proposal for a new offering, not submitted by an Institute, is as follows:

Step 1: A proposal is submitted to the CED and vetted appropriately by the CED staff.

Step 2: The proposal is sent to the designated contact person in the discipline related Institute for the Institute's review and comment in accordance with their procedures and processes. A typical timeframe of 3 to 4 weeks is provided for the review and comment though additional time may be requested and agreed upon. Failure to respond by the agreed upon deadline implies acceptance of the proposal. The contact person shall be identified by the Institute.

Step 3: Upon the close of the review period the CED staff will review all comments received and in accordance with their established procedures make a determination as to proceeding with the offering. Concerns submitted by the Institute shall be collectively reviewed and resolved by the appropriate CED staff and Engineering Programs Department staff after which the Institute volunteers shall be informed of the resolution.

The process for reviewing and approving a proposal that is developed and submitted by an Institute is as follows:

Step 1: An Institute prepares and approves a proposal for a new offering in accordance with their procedures and processes.

Step 2: The proposal is submitted to CED by the Institute staff noting that the proposal has been reviewed and approved by the appropriate Institute entity.

Step 3: The proposal is vetted appropriately by the CED staff. Comments, if any, will be forwarded to the Institute staff so that they may be addressed.

Audits: Any discipline related Institute may audit any course within its discipline as follows:

1. The audit must be coordinated and arranged through the staff of the CED. A minimum of three week's notice must be provided to the CED staff.
2. The audit must be conducted silently. This means that the auditor may not ask questions, or offer comments, etc.
3. Upon the conclusion of the audit a written report must be submitted by the auditor to both the CED and the Institute.
4. It is the responsibility of the Institute to provide for all expenses incurred by the auditor who conducts the audit.
5. The audit must be conducted by individuals designated by the Institute.

At the conclusion of the audit, it is the responsibility of both the Institute and the Continuing Education Department to review the audit and to jointly develop remedies to the concerns.

APPENDIX G

Creation/Sunsetting of an Institute

An Institute may only be established or sunset by action of the ASCE Board of Direction. In establishing an Institute, the Board may consider a range of factors including:

- Intended mission and focus of the Institute
- Existing activities by ASCE in the discipline to be served
 - Conferences
 - Books
 - Standards
 - Journals
 - Continuing Education offerings
 - Manuals of practice
- Potential for new activities to be undertaken
- Number of existing members in the discipline
- Size of the discipline to be served by the Institute
- Competing organizations
- Finances associated with existing activities and members
- Potential for financial growth
- Impact upon overall ASCE finances

Past submissions to the Board of Direction to establish an Institute have included the submission of a comprehensive proposal, a marketing plan and a 5-year business plan.

The Board of Direction may sunset an Institute at any time for any reason. Ideally, the proposal to sunset an Institute would come from the Technical Region Board of Governors as the result of an Institute's peer review.

APPENDIX H

Interim Report of the Region and Institute Presidents Group

Presented by Dan Cook to
ASCE Board of Direction
July 2021

Through the discussion at several meetings, the RIPG reached general agreement to pursue several overarching ideas:

Overarching Ideas

- Study ASCE structure (*can we do better, work on breaking silos, expand the understanding of ASCE, modify the IOP, increase the nimbleness, Institute reserve flexibility, use funding as motivation/accountability*)
- Interactive and collaborative opportunities (*local, regional, national programs, cross representation on boards, invite each other, MRLCs, create common events, common calendar, share information of activities, cooperation on conferences*)
- Institute Chapters (*definition of role, promotion in institute newsletter, interaction, greater flexibility*)
- Grow membership (*engage members in RIPG deliberations, explain benefits to members*)
- Student transition (*access to all institutes for free, explain institutes*)
- Student chapters (*explain R&I, what R&I can do for students, how R&I can engage and motivate the profs*)
- Aligning Strategic Plans (*Society level and Institute/Region level*)
- Increasing awareness of Institutes in Region 10
- Utilize Smart Cities and CAV to engage all disciplines

From these ideas, a list of specific activities was developed and then prioritized:

Specific activities (the items in bold were prioritized):

- **Interactive and collaborative opportunities**
- **Membership growth and retention**
- **Student transition**
- Aligning strategic plans
- Study the ASCE structure
- Institute chapters
- Student chapters
- Increasing awareness of Institutes in Region 10
- Utilize Smart Cities and CAV to engage all disciplines

Task groups were assigned to develop further specifics for the three prioritized ideas:

Task Group 1: Student Transition – *Younger Member Retention*

Membership: Rick Boudreau, Sam Chiu, Curt Elmore, Tony Lau, Sophie Lipomanis

Detailed strategies:

- Communicate with student by means other than email
- ASCE-specific training for Student Chapter Academic Advisors and Practitioner Advisors – Get them engaged
- Educate Student Chapters about Institutes
- Future ASCE website feature: display assigned Section, Branch, YMG, Institute, Institute Chapter, etc.
- Dues transition:
 - Free first year, automatic membership
 - 50% dues until 28
- Target Student Scholarship and Fellowship winners for future leaders

Task Group 2: Membership Growth and Retention

Membership: Carl Sutter, Steve Balint, Jim Collin, Lauren Pratt, Elias Sayah

Detailed strategies:

- Encourage all ASCE members to join at least one Institute
 - Send reminders to those who have not made a selection
 - Part of communication to transitioning students
- Cross-advertise ASCE and Institute activities and opportunities at all functions
- Region, Section, and Branch leaders promote Institutes while making Student Membership presentation

Task Group 3: Interactive and Collaborative Opportunities

Membership: Bob Cagle, Lenor Bromberg, Dan Cook, Jack Raudenbush, Damian Siebert, Don Wittmer

Detailed strategies:

- Board Meeting Presence
 - Rotation of invitations for institute local chapters to present at section/branch board meetings on what they are doing and how they can work together
 - Invite institute local chapters to regularly attend section/branch board meetings (corresponding member)
 - Create an official board seat for institute local chapter leaders on section/branch boards
- Actions and Events

- Cross preparation of articles to be included in newsletters
- Cross advertisement of activities and events
- Sections/branches leverage institute local chapters to present technical programs for PDH's
- Tools
 - Institute (national and local) speaker and presentation list
 - Interactive and searchable map that includes institute and geographic region information and contacts

Task Group 3 went through a more formal process of rating their specific strategies:

	Implementation Difficulty						Impact Level						COMBINED AVERAGE
	Lennor Bromberg	Bob Cagle	Dan Cook	Jack Raudenbush	Don Wittmer	AVERAGE	Lennor Bromberg	Bob Cagle	Dan Cook	Jack Raudenbush	Don Wittmer	AVERAGE	
Board Meeting Presence													
Rotation of invitations for institute local chapters to present at section/branch board meetings on what they are doing and how they can work	4	4	4	4	4	4	3	3	2	3	3	2.8	3.4
Invite institute local chapters to regularly attend section/branch board meetings (corresponding member)	5	5	4	5	5	4.8	4	4	3	4	4	3.8	4.3
Create an official board seat for institute local chapter leaders on section/branch boards	3	4	2	4	5	3.6	5	4	2	5	5	4.2	3.9
Actions and Events													
Cross preparation of articles to be included in newsletters	2	3	2	2	3	2.4	3	3	3	4	3	3.2	2.8
Cross advertisement of activities and events	4	4	3	1	4	3.2	5	3	3	4	5	4	3.6
Sections/branches leverage institute local chapters to present technical programs for PDH's	3	4	3	3	4	3.4	3	4	4	4	4	3.8	3.6
Tools													
Institute (national and local) speaker and presentation list	4	5	2	3	4	3.6	3	4	4	3	4	3.6	3.6
Interactive and searchable map that includes institute and geographic region information and	3	3	1	2	3	2.4	5	5	5	2	5	4.4	3.4

In summary:

- Similar ideas were developed by each task group.
- Education and engagement key to membership growth and retention
- Opportunity for tools that increase clarity and awareness; facilitate communication
- Collaboration will create efficiencies
- Institutes provide opportunity for enhanced engagement for special interests
- Important at all levels, especially Students and Younger Members