ADMINISTRATIVE STANDARD OPERATING PROCEDURES

NOTICE: These Administrative Standard Operating Procedures (SOPs) shall be applied in the absence of specific procedures outlined in the SOPs of the governance body.

I. PROCEDURE FOR STANDARD OPERATING PROCEDURES AND JOB DESCRIPTIONS (JDs)

A. Development

1. The procedures for each of the Association Commissions, Committees, Organizational Advisors, and Standing Advisory Committees shall be developed by the leadership of that body.

2. Procedures shall be submitted to the Bylaws, Policies, and Procedures Committee (BPPC) to determine consistency and appropriateness and make recommendations for approval or revision within 1 year of the creation of the body or individual position by official Association action.

B. Adoption

The SOP of a body and/or JD of an individual shall be approved by either Board, or in the case of the Assembly, by the Assembly.

C. Review, Amendments, or Revisions

1. The BPPC shall review procedures to ensure conformity with statutory provisions, bylaws, policies, and the strategic plan.

2. The BPPC shall have the authority to make editorial and clerical corrections in SOPs/JDs with notification to the originating body.

3. During the second year of a presiding officer's term, the body responsible for its SOPs/JDs shall review those documents for compliance with current practice.

4. If no revisions or amendments are identified, this information will be reported in writing to the BPPC.

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5. Using the process defined by BPPC, the SOP/JD amendments or revisions shall be submitted to the BPPC for review.

II. CHAIRPERSON RESPONSIBILITIES

A. Appoint committee members based on requirements of Bylaws, Policy A.25: Association Ad Hoc Committees, Policy B.4: Composition of Association Bodies, and specific committee SOPs.[1]

B. Provide orientation and facilitate transition to new chairperson and members to ensure a smooth continuation of Association business including review of the Association governance orientation manual and virtual communication environments.

C. Notify the President or Speaker of meetings and agendas.

D. Assure diversity and inclusion in the scope of function (e.g., membership selection, identification of resource people, and language used in reporting and documentation) as outlined in Association Policy B.4.

E. Actively pursue the Association's goals and strategic plan.

III. ASSUMPTION OF OFFICE. Positions across the Association shall take office on the dates indicated:

A. All elected positions shall take office on July 1 following the election.

B. All appointed positions shall take office on July 1 or immediately after formal appointment has been made by the presiding officer of the body.

IV. MEMBERSHIP REQUIREMENTS FOR OFFICE. The following are qualifications for all individuals holding leadership roles in the Association:

A. The individual must be a member in good standing of the Association and state affiliate and may not have had a public censure within the past 3 years at the time of election and throughout the term of office. Exceptions to this are committee members where the position does not require

[1] Refer to the Association's Policy Manual on the AOTA Web site.

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membership in the Association e.g., Consumer and Public Advisor to the Board, American Occupational Therapy Foundation (AOTF) President and AOTF designee to the Board, and the Consumer Member to the Assembly.

B. Should membership lapse in either AOTA or the state affiliate after the standard membership renewal reminders, the individual will no longer be eligible to serve and shall resign immediately when requested by the President or Speaker of the Assembly. However, reinstatement may occur upon petition to the President or Speaker following membership renewal.

C. Individuals serving as World Federation of Occupational Therapy (WFOT) or Alternate WFOT Delegate must also be members in good standing of WFOT at the time of election and throughout the term of office.

D. The BPPC chair, appointed by the Board, must be a member in good standing of the Association and the state affiliate and may not have had a public censure within the past 3 years at the time of and throughout the term of appointment.

E. Individuals serving in appointed positions must be members in good standing of the Association and may not have had a public censure within the past 3 years at the time of and throughout the term of appointment.

F. All individuals holding leadership roles shall have knowledge of and familiarity with the official documents of the Association (Bylaws, policies, appropriate SOP/JD, AOTA *Occupational Therapy Code of Ethics*, Administrative SOP, and strategic plan.

V. COMMUNICATION PROCEDURES

A. Minutes

Minutes of Association bodies shall follow Association guidelines for meeting minutes (Attachment A).

2. Minutes may be approved face-to-face, by conference calls, online, or through other methods.

3. Minutes will be kept of all committee meetings, including ad hoc committees.

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B. All committee decisions shall be communicated by the Chairperson to the President, Speaker and membership as appropriate.

C. Committee members shall support committee decisions in any communications with members and non- members.

D. Minutes and reports shall be maintained by the committee.

E. Elected and appointed volunteer leaders shall have consistent access to a high speed Internet connection and be comfortable working in a virtual communications environment. This includes opening, saving, editing, and sending attachments in e-mail and other electronic formats as needed.

VI. MEETINGS

A. The chairperson of a body has the authority to call a meeting to fulfill the purposes of that body.

B. Unless meeting frequency is delineated in the Bylaws, the chairperson can determine the frequency of meetings within the existing budget.

C. All meetings shall be scheduled through the Association headquarters.

D. The chairperson is responsible for preparing an agenda and notifying members sufficiently in advance to allow for member participation. The Board and
Assembly shall post their agenda on the Association Web site at least 21 days in advance of the meeting.

E. Meetings may be conducted face-to-face, by conference calls, online, or through other methods.

F. All members of the body are expected to be in attendance at meetings. If an absence is necessary, the member should notify the presiding person of that body before the meeting date.

G. Presence of a simple majority of voting members of the body constitutes a quorum. Once a quorum is established, it shall remain established for the duration of the meeting in conformance with the law applicable to non-

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profit corporations in D.C.

H. All voting members present have voice and vote.

VII. DECISION MAKING

A. Decisions shall be made according to the relevant District of Columbia statute, the Association Articles of Incorporation, Bylaws, policies and procedures and are guided by Modern Parliamentary Procedure.

B. According to the Bylaws, the President is a voting member of the Board and the Speaker is a voting member of the Assembly. The presiding officer of a body has the same voting rights as other members of the body but maintains an impartial position in a voice vote by only exercising that right if the vote will affect the outcome.

C. The chairperson may call for a general consent, consensus, or formal vote. Decisions in a formal vote are made by a majority.

D. Multiple issues for which there is no anticipated opposition may be grouped for a single vote using general consent agenda.

VIII. REPORTING

A. Standard format shall be used for reports sent to the Assembly and Board (Attachment B).

B. Records shall be maintained by the appropriate Association staff liaison in accordance with the guidelines of the Association.

IX. WITHDRAWAL FROM ELECTION:

A. Any nominee running for office who seeks to withdraw from an election shall, no later than 21 days prior to the date of the election, provide written notice to the Volunteer Leadership Development Committee (VLDC). The nominee's name will be removed from the official ballot and information removed from the Association Web site.

B. In the event a nominee who seeks to withdraw fails to provide notice in conformance with the above, and the name cannot be removed from the official ballot prior to the election, then the candidate receiving the second

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highest vote shall be deemed the winner if the candidate who has withdrawn wins the election.

X. ABSENCES AND VACANCIES

A. In the event of an absence in the elected position of:

1. President, the Vice President shall preside over the meeting.

2. President and Vice President, the Secretary will preside over the meeting with the first item of business to be the election from the group of an individual to preside over the meeting.

3. Secretary, the President shall appoint a person to serve as Secretary pro tempore for the meeting.

4. Treasurer, the President shall appoint a person to serve as Treasurer pro tempore for the meeting.

5. Speaker, the Vice Speaker shall preside over the meeting.

6. Speaker and Vice Speaker, the Recorder will preside over the meeting with the first item of business to be the election from the group of an individual to preside over the meeting.

7. Recorder, the Speaker shall appoint a person to serve as Recorder pro tempore for the meeting.

8. Chairperson from a meeting of the body, the chairperson shall appoint a person to preside over the meeting.

9. Chairperson who cannot fulfill his or her duties for a set period of time shall appoint a chairperson pro tempore.

10. WFOT Delegate, the WFOT Alternate Delegate shall assume the duties.

11. WFOT Alternate Delegate, the President shall appoint a person to assume the duties.

B. In the event of a vacancy in the elected position of:

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1. President, the President-Elect will assume the position. Should no President-Elect exist, the Vice President will act as President.

2. Vice President, Secretary, or Treasurer, the President will appoint an individual to act as Vice President, Secretary, or Treasurer until the next regular election.

3. Speaker, the Vice Speaker will act as Speaker until the next regular election.

4. Vice Speaker or Recorder, the Speaker will appoint an individual to act as Vice Speaker or Recorder until the next regular election.

5. Chairperson, the Chairperson-Elect will assume the position. Should no Chairperson-Elect exist, the official of the respective governing body will appoint a qualified individual to act as chairperson until an election can be conducted.

6. The Speaker will appoint a qualified individual to act as Representative until the next unexpired term..

7. WFOT Delegate, the WFOT Alternate Delegate shall act as WFOT Delegate until an election can be conducted.

8. WFOT Alternate Delegate, the President shall appoint a person to act as WFOT Alternate Delegate until an election can be conducted.

9. Other elected position(s), the President, Speaker, or Chairperson (determined by the governing body) will appoint an individual to act in the position until an election can be conducted except in the case of a Representative.

C. In the event of a vacancy in an appointed position, the person who makes the appointment will appoint an individual to complete the term.

D. Vacancies will be filled in a timely manner after the VLDC has vetted and identified qualified candidates.

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XI. RESIGNATIONS

A. A written notice of resignation shall be submitted to the President or Speaker when the position is one that has been elected by the membership.

B. A written notice of resignation shall be submitted to the presiding officer of the body when the person was elected to the position from one body.

C. A written notice of resignation shall be submitted to the person who made the appointment when the person was appointed to the position.

XII. DISCIPLINARY ACTION

A. Individuals may be disciplined by reprimand, censure, or removal from a position for the violations enumerated in Policy A.7: Censure, Policy A.8: Removal and Appeal, and Policy A.13: Conflict of Interest.[2]

B. Appointed individuals serve at the pleasure of the person who appoints them; however, an appointed individual shall only be removed for cause.

C. Disciplinary action for any reason set forth above for a person in an elected position must be initiated by the body in which the position is seated.

1. Initiation of disciplinary action:
   a. Two or more members of the body may submit a written petition for disciplinary action to the presiding officer of the body of which the individual is a member.
   b. The presiding officer of the body may also initiate a disciplinary action.

2. The investigation process:
   a. The presiding officer of the group will appoint an Investigating Committee of three members.
   b. The Investigating Committee will investigate and recommend an action to the presiding officer.
   c. The recommended action will be conveyed to the individual by the presiding officer.

[2] Refer to the Association's Policy Manual on the AOTA Web site.

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3. An individual who has been disciplined for any of the reasons set forth above has the right to appeal by submitting a written request to the Ethics Commission (EC) Chairperson within 30 days of notification of the disciplinary action. An Appeal Panel will be convened within 30 days of receipt of the request from the individual who has been disciplined.

   a. The Appeal Panel will be composed of the EC Chairperson (who will chair the Panel), the public member of the EC, and the non-public member of the EC both of whom hold the longest tenure on the EC. Should substitution be required due to a recusal or unavailability, alternates will be chosen from the EC.
   b. Process: The Appeal Panel will do a paper review of material from the Investigating Committee and any other materials submitted to the Panel. The Appeal Panel shall show deference to the decision of the body making the initial decision and shall uphold the decision unless the Appeal Panel finds the body made a deviation from the procedure and/or there was no evidence to support the decision or the decision was otherwise arbitrary. The deliberation and decision will occur within 60 days of convening the Panel. All individuals involved shall be notified in writing if a delay occurs.
   c. The decision of the Appeal Panel is final.

D. Reasons for censure, or any other sanction, as detailed in the Enforcement Procedures for the *Occupational Therapy Code of Ethics (Code),* are a violation of the *Code.*

XIII. BUDGET

The Board has overarching fiduciary responsibility to oversee and manage the affairs of the Association, including financial matters and under the Association Bylaws shall review and approve the Association budget for each fiscal year.

A. Procedure for Requesting Funds

1. For the Board, the President or designee prepares the budget for new initiatives for management of the Board and its operations including the funds needed by the officers according to the

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procedures outlined each year by the Treasurer or his/her designee.

2. For the Assembly, the Speaker or designee prepares a budget request of new initiatives for the management of the Assembly and its operations including funds needed by other officials according to the procedures outlined by the Treasurer or his/her designee.

3. The chairperson of each body, working collaboratively with the appropriate staff liaison, is responsible for submitting budget requests according to the procedure outlined each year by the Treasurer or his/her designee.

4. Appropriate staff liaisons will inform each body of the Association of the funds approved by the Board for that body.

B. Authority to Disburse

The chairperson of each body may authorize disbursements of funds for that group within budgetary limits. Such requests shall be transmitted through the body's staff liaison.

C. Procedure for Obtaining Funds

1. All contracts shall be submitted through staff liaison and follow the Association's policy for contract approval.

2. Expense reimbursements for Association activities by any group will be done in accordance with expense guidelines approved in the budget.

3. Expense reimbursements will be submitted on Association forms and in accordance with the Association's accounts payable processes.

D. Financial Reporting Procedures

The appropriate staff liaison will report to the appropriate presiding officer concerning that body's use of the budgeted funds. The individual responsible for authorizing disbursements of funds is responsible for operating within budgetary approved limits.

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XIV. CONFLICT OF INTEREST

A. All persons elected or appointed to carry out the business of the Association are responsible for their duties as defined in the Governance documents. At no time shall the personal, professional, business, financial, or volunteer relationships outside the Association take priority over the interests of the Association in the individual's execution of the duties of the position. Elected or appointed persons must report a possible conflict of interest to the Association governance body of which they are a member. That governance body will make a determination as to whether or not a conflict exists and what action, if any, should be taken in accordance with Association Policy A.13.

B. Elected and appointed individuals will acknowledge a review of Policy A.13 Conflict of Interest[3] and complete the appropriate statement annually acknowledging compliance with this policy.

XV. RELATIONSHIPS

A. The Association Executive Director (ED) will assign a staff liaison to perform various duties in support of the body.

B. Board liaisons may be assigned to any body at the discretion of the President.

XVI. ATTACHMENTS

A. Association Guidelines for Meeting Minutes

B. Format for Reports to the Association

C. Consent to Serve Form

D. Statement on Neutrality

[3] Refer to the Association's Policy Manual on the AOTA Web site.

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