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NEWWA POLICIES & PROCEDURES

The New England Water Works Association, Inc., also known as the New England Water Works Association or NEWWA, Board of Directors (Board), approved the following policies and procedures on April 2, 2024. This document began in 1987 and has been revised and added to many times since then. Copies of earlier versions are available from the Chief Executive Officer (CEO).

I. ACCOUNTING AND FINANCE

A. ACCOUNTING PRACTICES

NEWWA's accounting practices are designed to assure that staff and volunteers meet their fiduciary responsibility to the members and all who contract for services with the association. The association implements these practices in a consistent manner for all internal and external activities and projects.

The association accounting controls are based on our size, and we contract annually with an independent auditor to review our internal controls and to audit our financial statements. The financial records are kept by program area and specific contract. Each staff member is required to report all hours worked by program and external project on their individual timesheet.

The association's objective is to have all costs that can be identified with a given project reflected in direct cost to that project. Any costs incurred that cannot be separated from other projects are reflected in the indirect cost. No cost assigned to indirect cost is considered to be a direct cost. The indirect cost number for a new year is reviewed and confirmed by the independent auditor. Items related to fundraising have been separated into their own programs to assure they are not used in any direct or indirect cost for other programs.

Direct costs are those that can be identified specifically with a particular final cost objective, i.e., a particular grant/contract, project, service, or other direct activity of the association. Costs identified specifically with grants/contracts are direct costs of the grants/contracts and are assigned directly to that project. Costs identified specifically with other final cost objectives of the organization are direct costs of those cost objectives and are not assigned to other grants/contracts, directly or indirectly.

Internal Controls

The association has established internal controls, which include the separation of processing of income from processing of payables. Project managers develop request for proposals and after review by the CEO, each issues the request and monitors the process. The CEO, Accounting Manager, or designee(s) must review an award of a sub-contract for purchase of equipment or services. The goal is to ensure that no one person has complete control over all aspects of a financial transaction.

Travel costs are the expenses for transportation, lodging, sustenance, and related items incurred by employees while traveling on official business of the association. Such costs are charged on an actual basis of actual costs incurred. Each employee is required to submit these for approval by the CEO or the Accounting Manager and the charges must be in

accordance with the association's travel policy and practices. The travel policy and practices are consistently applied to all travel activities for internal and external projects. The travel mileage reimbursement rate follows the IRS rate for that date. Actual indirect cost rates, mileage reimbursement rates, and/or fringe benefit rates are placed in the project or program budget and are honored through that contract unless the authorizing parties agree to an approved amendment.

The most recent report on compliance on Internal Controls over financial reporting by our independent auditor is provided with this statement as normal practice.

B. BUDGET POLICY

Background

New England Water Works Association's budget policy addresses the process by which a budget is formulated from committees and departmental requests to the Board of Directors' adoption, including the review of a 3-year financial forecast, the capital improvement program, and other issues presented to the Board during the budget process.

The budget policy also addresses all other aspects of the budget, including the authorization levels for the approval of budget adjustments and review of the budget during the fiscal year.

NEWWA's fiscal year is July 1st to June 30th.

The operating budget basis is the accrual basis. Accrual basis indicates revenues are recorded when earned (whether or not cash is received) and expenditures are recorded when goods or services are received (whether cash disbursements are made at the time or not). Generally Accepted Accounting Principles (GAAP) are followed, including budgeting for depreciation.

Budget Calendar and Budget Committee

The following guidelines will be used in establishing the annual budget calendar:

1. Planning Committee recommended action steps are approved typically at the September or November board meeting.
2. The Budget Subcommittee (see **Appendix A-3** on page 9 for committee members) begins meeting in October to plan the budget process. The Budget Subcommittee recommendation is forwarded to the Executive Committee.
3. Requests for resources should be submitted by December 31st for consideration in the budget.
4. The Budget Subcommittee recommends the budget to the Executive Committee. The Executive Committee's recommendation to the full board must be made no later than the spring board meeting (typically March/April).
5. The proposed operating budget, capital improvement program (CIP), and 3-year summary financial forecast will be presented to the board no later than the spring board meeting (typically March/April).

Actual board/Budget Subcommittee meeting dates will be established as part of the board's meeting schedule approved by the board/Budget Subcommittee. Additional Budget

Subcommittee meetings related to the budget may be held. (See **Appendix A-1** on page 9 for typical year process.)

Budget Guidelines

The overall objective of the budget is to provide a balanced financial plan with revenues at least equal to expenses in total that adhere to the association's mission statement, by-laws, long-range strategic plan, and current initiatives from which the budget shall be initially formulated.

1. A balanced operating budget is a budget that has total expenditures less than or equal to total revenues.
2. The board may establish an amount to be included in the total expenditures to add to reserve balances to conform with board policies (see **Appendix A-2** on page 9).

Initiatives that are presented to the board should also ensure compliance with the mission statement.

Annual recurring budget guidelines shall be focused in certain areas, with additional guidelines and/or objectives formulated, if applicable, by the CEO, board and board committees/subcommittees in the formulation of the proposed budget.

Sound Financial Management Practices

1. Strive to minimize the membership and training fees through provision of service delivery in the most efficient and effective manner.
2. The 3-year financial forecast shall be reviewed by the Board of Directors.
3. Capital improvement program (CIP) shall be annually prepared and adopted by the board illustrating the manner and the means in which the association's capital needs are planned to be funded.
4. Funding recommendations should include recurring revenue to meet recurring expenses.
5. Should maintain compliance with NEWWA's financial policies in ensuring adequate reserves, limits on the association's debt burden, and maintenance.
6. If debt issuances are identified in the CIP, strive to ensure that the plan for the anticipated financial impact of the proposed issuance with a phased construction schedule consists of projects that would be supported by the members.
7. Any funds raised through philanthropy programs shall only be utilized for organizations that share a similar mission to NEWWA.

Initiatives that are presented to the board should also ensure compliance with the following guidelines.

1. Employee Compensation & Evaluation
 - a. Provide adequate employee compensation including consideration of pay-for-performance increases, salary benchmark adjustments, if applicable, and a comprehensive benefits plan.
 - b. Ensure that such compensation and benefits provided will be reviewed periodically to enable the association to attract and retain outstanding employees. This should happen no less than every 5 years.
 - c. The Chief Executive Officer will undergo an annual performance review conducted by the Immediate Past President, President, and President-elect with feedback from the Treasurer. The review will be conducted annually at the Planning Session (July). The review will include a standard review Q&A form, and evaluation of goals for the current year. At this same time, goals for the upcoming presidential year will be established. The CEO's most recent annual performance review will be shared with the Personnel Subcommittee and taken into consideration with respect to compensation.
 - d. The Personnel Subcommittee will make a compensation recommendation to the Executive Committee by December 31st. If the Budget Subcommittee decides to recommend a budget that does not include the compensation recommendation made by the Personnel Subcommittee, the Budget Subcommittee should note that in their budget recommendation to the Executive Committee and obtain specific approval of their recommendation.

Capital Improvement Program

The CIP is a plan for capital expenditures and a means of funding facilities, equipment, and vehicles with a cost greater than \$5,000 during the next three (3) fiscal years.

Three-Year Financial Forecast

1. The forecast will identify all major budget assumptions including the anticipated collection of revenues, use of fund balance, expenditures, future operating costs of capital improvements, and proposed changes in service levels and fees.
2. The plan will clearly illustrate proposed service levels and be the means to finance such service levels of the 3-year period.
3. Compliance with investment, debt, fund balance, and other financial policies shall be maintained for each year of the plan. There should be a plan for coming back into compliance if needed.
4. Reserve for contingencies will be appropriated in the operating fund at an amount equal to at least 25 percent of the total operating budget. If the contingency is less than the target amount, the budget should include a plan to obtain the target amount in a reasonable time frame.
5. Financial plans enable the funds subject to such plans to be managed to maintain financial stability over the long-term by identifying current trends and future challenges; identifying the most appropriate mix of funding sources; analyzing debt options and timing to minimize borrowing costs; encouraging strong fiscal and operational management, and encouraging consistency and financial integrity.

Guidelines for the NEWWA President's Discretionary Fund (PDF)

The purpose of the NEWWA President's Discretionary Fund (PDF) is to provide NEWWA's president with access to financial resources to be used as reimbursement as needed during their year as president in order to cover reasonable expenses incurred during their term in office. The amount approved in the budget is not an entitlement and any remaining balance at the end of the term is retained by NEWWA. This amount is separate and distinct from the line item amount approved in the budget to cover the President's expenses at the NEWWA annual conference. Permissible, but not required, uses of the President's Discretionary Fund include but are not limited to the following:

- Reasonable meal expenses incurred in hosting association leadership and other volunteers during course of year as President. Examples would include a lunch with the Budget Subcommittee, dinner with Executive Committee.
- Mileage, tolls, parking and other reasonable expenses for attending monthly meetings, symposia, etc.

To receive reimbursement, the President must submit appropriate documentation and receipts to establish the actual amounts of such expenses. No reimbursement for expenses incurred-reasonable or otherwise-which exceeds amount approved in the budget for the PDF shall be provided unless expressly approved by the Board.

Training Fees

Training fees should be established to at least cover the cost of the programs provided. Material exception to the general policy should be noted in the budget document presented to the board.

Budget Adoption

Included with the budget resolution shall be approval for the re-appropriation of capital and other reserve expenditures still outstanding.

As part of the adopted budget document, all policy changes and other significant budgetary issues should be presented to the board and should be noted. If there are outstanding capital costs from the previous fiscal year, they need to be re-approved with the next fiscal budget.

Budget Amendments

Operating budget authorization levels are classified in three tiers as follows:

1. All significant changes to the budget or program activities must be approved by a budget amendment by the board before committing financial resources.
2. The Treasurer will provide a budget status report by March 31 annually or as deemed necessary. The report will consist of the financial results of the quarter ending and a full year projection of the budget. The board shall review and approve any amendments to the budget.

Capital budget authorization levels are classified as follows:

1. Capital expenditures are approved by the board through the adoption of the annual Capital Improvement Plan (CIP) or specific approval at a board meeting after

recommendation(s) from the appropriate committee (e.g. – Facilities, IT Committees, etc.).

2. Specific board approval is required for projects approved by the board through the annual CIP if the lowest bidder is not recommended or the amount exceeds the CIP approved amount.
3. Unplanned emergency capital expenditures that cannot follow the outlined process above due to circumstances may be authorized in the following manner:
 - a. If the expenditures are less than 1 percent of the annual operating budget, the majority of the officers may authorize; or
 - b. If the expenditures are more than 1 percent of the annual operating budget, the majority of the Executive Committee may authorize.

In each case, the expenditure shall be ratified at the next scheduled board meeting.

| Appendix A-1 - Typical Budget Process Cycle | |
|--|---|
| Spring | Vice President Chairs Planning Committee and Spring Council Meeting <ul style="list-style-type: none"> • Determines Focus Areas for Summer Planning Session to Consider |
| July/August | Summer Planning Session Convenes <ul style="list-style-type: none"> • Specific Recommendations for Next Fiscal Year |
| September | Elections of New Officers/Board Members <ul style="list-style-type: none"> • Planning Committee's Long-Range Plan Due • Board Considers Planning Committee's Recommendations • Budget Subcommittee, Chaired by President-Elect, Begins Deliberations |
| December 31 | Staff and Committees' Recommendations Submitted to Budget Subcommittee |
| March | Budget Subcommittee Completes Budget Review and Makes Recommendation |
| April | Board Adopts Budget for Fiscal Year |
| July 1 | Fiscal Year Begins |

| Appendix A-2 - Fund Balance Benchmarks | |
|---|--|
| Operating Fund | Reserve for contingencies will be appropriated in the operating fund at an amount equal to at least 25% of the total operating expenditures. |
| Building Fund | \$200,000 is reserved for emergency asset repairs. |
| Equipment Capital Fund | \$150,000 (per July 6, 1994, Budget Subcommittee Recommendation) |
| Scholarship Fund | None |
| Social Function Fund | None |
| Drinking Water Fund | None |

| Appendix A-3 - Committee Membership | | |
|---|---|---|
| Executive Committee | President President-Elect Vice President Treasurer | Assistant Treasurer Director of the Administration Council One Director chosen by President with BOD approval CEO (ex-officio) |
| Budget Sub-Committee (Sub-Committee of Executive Committee) | President-Elect (Chair) Vice President | Treasurer and/or Assistant Treasurer Two Directors chosen by President-Elect |
| Personnel Sub-Committee (Sub-Committee of Executive Committee) | President (Chair) Past President Treasurer | President-Elect Vice President CEO (ex-officio) |

| | | |
|---|---|---|
| Investment Committee | Treasurer (Chair) Assistant Treasurer One Director | Two Members CEO (ex-officio) Accounting Manager (ex-officio) |
| Nominating Committee | Two Past Presidents (Willing and able to serve. The immediate Past President is Chair.) | President-Elect Three Directors appointed by the President One member in good standing appointed by the President |
| Organizational Development | Vice President (Chair) | Minimum of four directors |
| Planning Committee | Vice President (Chair) Two Past Presidents Two Directors Three Members At Large | Treasurer or Assistant Treasurer CEO (ex-officio) Other members added at the Vice President's discretion |
| Site Selection Committee | <p>The Site Selection Committee shall have equal utility member and service provider representation. At a minimum, the committee shall consist of the following:</p> <ul style="list-style-type: none"> • Vice President (Chair) • One Representative each from the Program and Sponsor Services Committees • Current annual conference reception sponsors will be asked to participate (2 representatives total) • Other board members representing NEWWA's geographical diversity • Staff responsible for events, appointed by the CEO | |
| Officers for Purposes of Approving Emergency Capital Expenditures | President President-Elect Vice President | Treasurer Assistant Treasurer |

II. ADMINISTRATIVE

A. AWARDS CREATION AND NOTIFICATION

Award Naming Criteria

1. Guidelines for Proposing the Creation of a New Recognition Award

These guidelines are intended to provide guidance to those considering proposals for new awards, rather than a set of rigid rules or prescriptions. All award proposals must be brought before the Executive Committee for a recommendation to the Board of Directors and will be considered on a case-by-case basis. Final approval is the purview of the board.

2. Overall Criteria

The purpose of each award should be clearly articulated. The award must be in keeping with the NEWWA **Mission** and **Vision Statements**. The award must represent excellence and prestige. It must not overlap with existing awards, but should address a constituency that is not served by the existing award family. The award should not confuse the scope of existing awards or diminish their prestige. New award proposals should suggest specific criteria by which the award might be identified and nominations be judged. A (confidential) list of examples of specific individuals who would be appropriate candidates for the award should be included.

3. Naming

Awards may be named after individuals, whether alive or deceased. Naming awards after a living person is possible; but the individual must have achieved a high level of visibility and distinction, and above all, must compare favorably with individuals identified by existing named awards. Awards proposed in the name of a company are not acceptable. Appropriate recognition of the source of an endowment in the award description is acceptable. Promotion of an award to be named after oneself is discouraged.

4. Financial Support of the Award

Awards should ideally be endowed by either a lump sum contribution or a payment contract over time that also provides for the annual cost of the award, including related expenses (e.g., travel and registration) for the award winner.

5. Breadth

Awards should not be limited to specific sub-fields of the Mission Statement, but rather, should be inclusive of the breadth of disciplines represented in the statement.

6. Administration

All new award proposals should be brought before the Executive Committee for discussion and recommendation to the full NEWWA Board of Directors. It should be noted that approval of new award proposals can be a 6- to 9-month process depending on scheduled meetings of the Executive Committee and Board of Directors. Groups are encouraged to contact the CEO as early as possible to coordinate an administrative timeline.

Award Notification

Notification will be sent to all award recipients in advance of the award presentation, , unless an exception is requested by the President or CEO. Advanced notification will allow for the preparation of the awards program and listing of award recipients as well as allowing the individual or organization being honored time to arrange for others to attend the ceremony.

B. CONFLICT OF INTEREST POLICY

This policy is designed to help directors, officers, members, and employees (responsible person) of the New England Water Works Association (NEWWA) identify situations that present potential conflicts of interest.

Directors shall inform the board at the outset of a discussion regarding a transaction of potential conflicts of interest.

Conflicts of interest shall be announced at the annual NEWWA business meeting, held in September; but if a conflict arises later, it shall be announced at that time.

When appropriate, a director should excuse themselves from any discussion on the transaction and abstain from voting on the transaction.

When the transaction involves a board member, any director can move that the transaction require a two-thirds vote of the disinterested directors.

The following are examples of circumstances that may result in a conflict of interest:

- A contract or transaction between NEWWA and a responsible person or family member.
- A contract or transaction between NEWWA and an entity in which a responsible person or family member has a material interest or of which such a person is owner, director, officer, agent, partner, trustee, employee, personal representative, guardian, custodian, or other legal representative.
- A responsible person accepting gifts, entertainment, or other favors from any individual or entity that:
 - Does or is seeking to do business with NEWWA.
 - Is seeking to receive a loan, grant, or secure other financial commitments from NEWWA.

Procedure to Manage Conflicts of Interest

The Chief Executive Officer will monitor proposed or ongoing transactions for conflicts of interest and disclose them to the President, who in turn will bring them to the attention of the Executive Committee, to deal with potential or actual conflicts, whether discovered before or after the transaction has occurred.

Failure to report a conflict of interest is a violation of this policy. Once discovered, said violation will be promptly, thoroughly, and objectively investigated, and, to the maximum extent possible; said investigation will be conducted so as to protect the confidentiality and privacy of the parties involved subject to the needs of the Chief Executive Officer and the President to investigate thoroughly.

If the Executive Committee determines that a conflict of interest has occurred, effective remedial action will be taken in accordance with the circumstances involved.

C. DOCUMENT RETENTION AND DESTRUCTION POLICY

Policy

It is the policy of New England Water Works Association (NEWWA) to ensure that the recorded communications of NEWWA are managed in an effective, efficient, and lawful manner. The policy establishes the retention period for all records, regardless of form and location, and presents guidelines on their destruction.

NEWWA employees and volunteers shall not knowingly alter, destroy, mutilate, conceal, cover up, falsify, or make a false entry in any record, document, or tangible object for any purpose at any time or with the intent to impede, obstruct, or influence the investigation or proper administration of any matter within the jurisdiction of any department or agency of the United States or in relation to or contemplation of any such matter or case.

Purpose

The purpose of this policy is to define "record" and "non-record" (work-in-progress) status to help determine the retention of NEWWA records. When information is characterized as "record" material, it must be retained according to the NEWWA records retention schedule. When information is characterized as "non-record" material, it can be destroyed at the discretion of the user — generally, after a relatively short period of time or after the official record is produced.

Practices/Procedures

Electronic Information

Some common types of electronic information (such as email) and their record or non-record definition are outlined below.

1. Unless otherwise designated or identified as official NEWWA business, electronic mail is a non-record.

Electronic mail messages should be archived from the system 12 to 15 months after the email has been sent.

Electronic mail messages designated or otherwise identified as official NEWWA business are records subject to the retention schedule set forth in the section for paper files. Procedures for designating or identifying official records shall be as set forth in NEWWA's policies.

2. Voice mail is always a non-record.

Voice mail, including all backups, should be erased within a 15- to 30-day period.

3. Word processing files and superseded printed drafts are non-records.

For records retention purposes, notes and drafts should be considered non-record material or work-in-progress. Notes and non-final versions generally should be destroyed immediately after the final draft/version has been accepted. Similarly, successive drafts of a document and the successive revisions of the electronic word processing file should be considered non-record or work-in-progress. Only the final approved versions are considered official organization documents and shall be retained per the same retention schedule as their paper counterparts.

4. Electronic Records with Tax, Financial, and Legal Implications.

Electronic records that have a tax and/or financial implication (e.g., electronic statement of accounts) shall be retained per the same retention schedule as their paper counterparts.

Paper Files

Key paper files will be retained per the retention schedule below. All NEWWA documents and committee reports produced by staff, volunteers, contractors, and any other persons must be forwarded – immediately upon approval – to the NEWWA CEO and Office Manager or Accounting Manager for retention.

Record Retention Schedule

These apply to both physical and electronic documents.

| Type of Document | Retention Schedule |
|-------------------------------|--------------------|
| Accounting/Financial | |
| Audit Reports, Public | Permanently |
| Audit Reports/Notes, Internal | 3 years |

| | |
|--|--|
| Balance Sheets | 7 years |
| Bank Statement/Reconciliations | 7 years |
| Bank Deposit Slips | 7 years |
| Budgets | 3 years |
| Cancelled Checks | 7 years |
| Charts of Accounts | Permanently |
| Depreciation Schedules | 3 years* |
| Expense Reports | 7 years |
| Employee Payroll Records and Summaries | 6 years* |
| Financial Statements: | |
| • Annual – Year End - Financial Statements | Permanently |
| • Monthly Financial Statements | 3 years |
| Invoices | 7 years |
| Inventory List | 3 years |
| Insurance Policies (expired) | 3 years |
| • Insurance policies issued on occurrence basis | Permanently |
| Insurance records, current accident reports, claims, policies, etc. | Permanently |
| Corporate Records | |
| Articles of Incorporation | Permanently |
| Board Election Ballots | Earlier of 18 months or upon confirmation of election results |
| By-laws | Permanently |
| Contracts (in effect) | During the time the contract is in effect |
| Contracts (expired) | 7 years |
| Minutes (Board and Committees with Board Authority) | Permanently |
| Student and attendee record of attendance (CEUs and TCHs) | 7 years minimum |
| Course Records | 7 years minimum |
| Certification Records | 7 years minimum |
| Policies and Procedures | During the time the policy or procedure is in effect plus five years following closure |
| Human Resources | |
| Employment Applications | 1 year |
| Timesheets | 4 years |
| Personnel Folders | 7 years* |
| Employment Policies and Practices | 10 years* |
| Taxes | |
| Annual Information and/or Income Tax Returns (federal, state, and local) | Permanently |
| Payroll Tax Returns | 4 years |
| Other Documents/Correspondence | |
| Correspondence (legal and important matters) | Permanently |
| Correspondence not relating to other categories | 1 year |

| | |
|---|---|
| Trademark Registrations and Copyrights | Permanently |
| Claims and Litigation Files where NEWWA is a party | 10 years* |
| Documents related to third-party subpoenas | 30 days after final resolution of underlying action |
| Consents and “opt-out” requests for e-mail and facsimile solicitation | For life of consent or request |
| Market Data and Surveys | 5 years |
| • Completed survey forms | Until publication of final survey report |

*Signifies that the retention period begins after final determination, payment, settlement, expiration, termination, decision, etc.

Document Destruction

Unless otherwise directed by the NEWWA President or CEO, the Accounting Manager, Office Manager, and Registrar with other NEWWA staff are responsible for the ongoing process of identifying the records which have met the required retention period and overseeing their destruction. Destruction of the documents may be accomplished by shredding.

Upon any indication of pending or foreseeable litigation or official investigation by the IRS or any governmental entity, document destruction shall be suspended immediately. In addition, upon such notice, all of NEWWA's records shall be secured immediately in order to prevent the deliberate destruction of documents. Destruction shall be reinstated upon conclusion of the investigation and written approval of the NEWWA President and/or CEO and/or legal counsel. The NEWWA CEO shall be responsible for interpreting this policy for application to specific situations.

D. LIBRARY POLICY

The resources available in the NEWWA library consist of books, manuals, standards, periodicals, journals, magazines, catalogues, videotapes, DVDs, and artifacts having to do with the many and diverse aspects of the water supply industry. All resources have been categorized and listed. Most of the material is now available and able to be displayed in an “open shelf” format. Less frequently requested material is archived elsewhere but can be recovered on request.

Members of NEWWA and the interested public are invited and encouraged to make use of this resource. To provide for the orderly use of the NEWWA library the Board of Directors has approved the following:

1. The library is open to the general public. Borrowing of books, videotapes, DVDs, etc. is a privilege extended to NEWWA members only.
2. Books not returned after 6 months subject the borrower to full payment of the replacement cost of the book plus the maximum overdue fine.
3. Borrowers will be limited to two books at a time unless special permission is received from the CEO, Education Manager, or their designee.

4. Electronic media may be borrowed by members only and must be reserved ahead of time. The borrowing period is 1 week. Overdue electronic media are subject to a \$3.00/day open-ended overdue fine. The borrower pays a \$3.00 handling fee and UPS shipping charges at the time of lending. Return UPS charges are the responsibility of the borrower. The borrower agrees to accept responsibility for loss or damage to the electronic media in the form of replacement costs.
5. Any copying performed for library patrons will be on a cost basis.

E. MAILING LISTS

The association will sell member address lists at member and non-member rates to be set by the staff. Member lists include member name, title, company, and address. Due to NEWWA's privacy policy, member phone numbers and email addresses are not included.

F. MEMBERSHIP

Discounts

Members will be charged lower rates for courses, conference registrations, etc.

Honorary Membership

Section 3.3. of the Constitution and Bylaws of the New England Water Works Association, Inc. states that an Honorary Member shall be a person of eminence in some branch of waterworks practice or waterworks engineering, or a member who has been outstanding in their promotion of the welfare of NEWWA or in the profession of water supply. There shall not be more than thirty-five (35) Honorary Members at any one time.

A written recommendation for proposed honorary members should be submitted to the Board of Directors by the Honorary Member Committee by the July Board of Directors meeting.

Membership Recognition Certificates

Membership recognition certificates will be presented at the following intervals:

20 Years, 30 Years, 40 Years, 50 Years, 75 Years, 100 Years.

On attaining Life or Honorary Membership, the certificate will be produced by NEWWA.

These certificates are to be presented at the Annual Conference or a regularly scheduled meeting of the association.

Years of Membership

For purposes of determining the number of years of membership in the association no distinction will be made in class of membership.

Article III of the Constitution and Bylaws of the New England Water Works Association, Inc. provides detail on classifications of membership for each category.

Section 3.12 of the Constitution and Bylaws of the New England Water Works Association, Inc. details membership disciplinary actions.

Member Code of Practice

We shall act to provide the best possible water service while preserving the public health, supporting public safety, and being responsible stewards of our precious water resources.

We shall perform our duties in accordance with local, state, and federal law and follow generally accepted and professional procedures, making sure that such procedures are based upon reasonable substantiated information.

We shall encourage methods that are economically sound and in the public interest for water operations—including, but not limited to, construction of water facilities, materials selection, management practices, and operating procedures.

We shall encourage application of new concepts and innovative technologies to practical problems and assist the users of innovative technology in performing balanced technical evaluations and assure cost-effectiveness.

We shall discourage exaggerated, unfair, or untrue statements concerning public water supplies and promote an understanding of professional standards for water utility operations and materials.

We shall not accept compensation in any form from any interested party other than our employer or client. We shall not engage in other employment that could affect our performance or independent judgment in duties for our employers or clients.

We shall fully disclose financial or personal interests that could be construed as a conflict of interest with our employer or client in the purchase of goods or services. In addition to disclosing any interests, we shall not participate in decisions related to such purchasing activities.

We shall not allow our personal ambitions to either unfairly affect our associates or interfere with fair competition for advancement.

We shall strive to advance the public appreciation of the services provided by water professionals and uphold the concept that employment in the public water supply field is a legitimate long-term career for well-trained and responsible citizens.

We shall promote employment and volunteer opportunities with commitment to nondiscrimination and shall make it clear that discrimination of any sort is not acceptable and should not be tolerated.

We shall not engage in nor countenance discrimination on the basis of race, sex, age, religion, national origin, sexual orientation, or disability.

We shall advance the knowledge of our colleagues and the general public by providing presentations at public forums and participating in other professional associations, civic organizations, and volunteer activities.

We shall not fail to perform the duties entrusted to us to the best of our ability. We shall hold the public interest superior to personal interests and shall ensure, through actions and leadership, that water service is maintained under all conditions.

We understand our essential public health and safety obligations to our community and accept these responsibilities; we shall always strive to do our best to discharge them.

We believe that it is incumbent upon service providers to publicly declare their adherence to business philosophies and standards of integrity and fair dealing supporting that call.

We believe in the dignity and safety of workers producing goods and services for the water works industry; the use of environmentally responsible processes to produce those goods and services; and the highest legal, moral, and ethical standards of conduct in the business of delivering those goods and services to end users.

We are encouraged to go beyond the minimum required for legal compliance and to advance social and environmental responsibility.

We are committed to conducting business affairs in accordance with the highest standards of business ethics. We will abide by all applicable business, financial and property laws, and regulations.

G. ALTERNATIVE DISPUTE RESOLUTIONS

NEWWA is a not-for-profit corporation whose mission shall be the promotion of public health and the advancement of knowledge through education, advocacy, and research relating to public drinking water supply activities, while encouraging networking and information exchange among water works professionals.

NEWWA strives to utilize its financial and staff resources efficiently and expeditiously in the pursuit of its mission and seeks to avoid conflicts with its members and among its members that may detract from its mission. However, NEWWA recognizes that conflicts and disputes may arise in the course of its activities.

1. It is NEWWA's policy to utilize alternative dispute resolution (ADR) procedures to resolve such conflicts and disputes, whether they involve claims by members against NEWWA, or claims between members relating to NEWWA activities not directly against NEWWA but requiring the use of NEWWA resources.
2. Accordingly, upon becoming a member of NEWWA, and upon renewing an existing membership, members shall agree to resolve their claims against NEWWA or with other members arising out of or relating to any activities by or on behalf of NEWWA, pursuant to the following ADR procedures:
 - a. If a member asserts a claim against NEWWA or against another member arising out of or relating to any activities by or on behalf of NEWWA, the member first shall attempt to resolve the claim through direct discussions and negotiations with NEWWA or with the other member(s) with whom the dispute exists.
 - b. If either NEWWA or the complaining member concludes that the claim cannot be resolved by direct discussions and negotiations, the parties shall next attempt to resolve the claim by mediation administered by the American Arbitration Association (AAA) under its then-current Commercial Mediation Procedures.
 - c. If the claim is not completely resolved by following the procedures in paragraphs a. and b., and if either NEWWA or the complaining member wishes to continue to pursue the matter, the remaining unresolved issues shall be settled by arbitration

administered by the AAA in accordance with its then-current Commercial Arbitration Rules.

3. The arbitration called for by these procedures shall be conducted under the Federal Arbitration Act, and the laws of the Commonwealth of Massachusetts to the extent those laws do not conflict with the Federal Arbitration Act. The arbitration shall be conducted by a single neutral arbitrator unless the amount in dispute exceeds \$1,000,000, in which event there shall be a panel of three neutral arbitrators. Hearings, if any, shall be held in Massachusetts. The arbitrator(s) shall render a reasoned award explaining the basis of the decision.
4. Punitive or exemplary damages shall not be recoverable in the arbitration. Any award shall be limited to actual monetary damages, if any, and no injunctive relief shall be awarded.
5. The prevailing party in the arbitration, as determined by the arbitrator(s), shall be entitled to recover its reasonable costs and fees incurred in the arbitration and the mediation that preceded the arbitration. "Costs and fees" shall include arbitrator fees and compensation, the AAA administrative fees, travel and other out of pocket expenses, witness fees, and reasonable attorneys' fees.

H. MISSION SHARING PROGRAM

Purpose

The program recognizes that NEWWA's relationships with the state associations have fundamental value. The program recognizes the state associations' efforts towards assisting meeting our common missions. In particular, the associations provide co-sponsorship of activities, member resources, and financial support.

Determination of Annual Activity

At its annual Planning Meeting, NEWWA reviews the strategic plan and develops broad goals for the upcoming year. NEWWA and the state associations review and mutually agree upon the level of support NEWWA can provide in the upcoming year. The support would include in-kind services as well as the mission sharing financial allocation. Agreement between the associations should be made before the beginning of NEWWA's fiscal year (July 1). The agreement between NEWWA and the individual state association would be documented by short memo.

Amount of Mission Sharing Contribution

An appropriate amount will be included in each year's budget and the board will consider that amount a commitment of the association and will not change the amount for the year after the budget is approved. However, under extenuating circumstances the NEWWA board has discretion to vote to change and/or eliminate the budgeted amount.

Mission sharing funds are decided by the board of directors and allocated and distributed to states recognizing geographical/member diversity. More funds may be allocated to states that hold a larger number of members proportional to the other states. If an amount is not allocated to a state association by mutual agreement between NEWWA and that state association, the share may be reallocated to other states. The total amount granted should

not exceed the total amount allocated to the program without the board's approval. The value of in-kind services provided by NEWWA is considered part of the state's share.

I. PUBLICATIONS

Journal Policy

The *Journal of the New England Water Works Association, Inc.* is the oldest water works publication in the U.S., with the first issue published in September of 1886. It is published 4 times a year in March, June, September, and December and is intended to be a journal that provides NEWWA members and subscribers with technical information on the water supply profession. It also includes conference proceedings, staff reports, and submitted articles by authors.

▪ Purpose

The purpose of the *Journal* is to provide members and subscribers with technical information on the water supply profession. It also includes conference proceedings, CEO reports, and submitted articles by authors. The *Journal* is a member benefit, but other parties may also subscribe for an annual fee outside of NEWWA membership. The *Journal* will consider papers for publication that are pertinent to the drinking water field. These can include papers of general interest to the water works profession; papers from presentations made at a NEWWA event; or papers directly solicited from the editors and/or Program Committee. Topics in the *Journal* should not include articles that promote a specific company or organization in a manner that may be construed as a marketing opportunity.

▪ Advertising

The *Journal* provides an opportunity for the membership and others to purchase ad space (no ad limit per issue). Ad space is scattered throughout the document, of varying sizes. Naylor Publications, Inc. performs all advertising solicitations for the *Journal* and establishes rates as well as sizes. Full details on current advertisement costs and sizes are available on NEWWA's website.

▪ Editing

Papers for consideration should be emailed to the editor by the submittal deadline listed on the Editorial Calendar to be considered for inclusion in the specific issue. The Editorial Calendar is as follows:

- March: Distribution and Storage
- June: Treatment
- September: Supply/Groundwater/Water Resources
- December: Management/Technology

Authors should reference the "Guidelines for Preparation of Papers for Publication in the *Journal of the New England Water Works Association, Inc.*" (see Appendix G-4 at the end of this document) for full submittal details, including the Copy Transfer Agreement, which must be signed by each author. For the peer review option, reference "Guidelines for the Peer Review Option of the Papers Appearing in the *Journal of the New England Water Works Association*" (see Appendix G-5 at the end of this document).

It is the author's responsibility to provide the editor with a draft of the submittal that is similar in content, subject matter, length, and frequency, so that any editing will be minimal, and the membership's submittal will best fit with the format of the *Journal*. The

Journal also offers ghost writing services for authors. All decisions to include or exclude content are at the editor's and NEWWA's discretion.

- **Publishing**

The *Journal* is published in both hard copy and electronic form four times a year in March, June, September, and December by Naylor Publications, Inc. It is mailed and emailed to the membership as well as subscribers, with links to the archive pages on NEWWA's website. The most recent year of *Journal* articles posted on the NEWWA Web site will be restricted to members only. Issues posted online older than one year will be available to the general public for viewing and downloading.

***The Source* Policy**

The Source is a 12-page member newsletter that is published electronically 4 times a year according to the seasons: Winter, Spring, Summer, and Fall, and includes timely information on upcoming and relevant drinking water topics. It also includes submitted articles by guest authors, a board update, new members, training and event schedules, and other information.

- **Purpose**

The purpose of *The Source* is to provide the membership with information on NEWWA's events (both past and future), current water-related topics, committee work, and editorial content, as well as messages from the president, CEO, editor, and board of directors. The newsletter is a member benefit. Topics in *The Source* should not include articles that promote a specific company or organization in a manner that may be construed as a marketing opportunity.

- **Advertising**

The Source provides an opportunity for the membership to purchase ad space (no ad limit per issue). Ad space is scattered throughout the document, and all are considered "business card" size, which is 2.25" x 1.25," full color, and with click-through capability. Ads are published in full color and must conform to the context standards for ads per NEWWA's advertising policy. NEWWA will allow advertisers to submit for less than four issues each year, with an adjusted rate. Ads are also included in the email communication sent to members when *The Source* is distributed, and also have click-through capability. Full details on current advertising costs are available on NEWWA's website.

- **Editing**

The editor and staff liaison of *The Source* receives and reviews submittals from the membership. NEWWA staff also produce content as well as photo spreads. The editor determines what content, subject matter, length, and frequency of submittals to be included in each issue. It is the membership's responsibility to provide the editor with a draft of the submittal that is similar in content, subject matter, length, and frequency, so that any editing will be minimal, and the membership's submittal will best fit with the format of *The Source*. *The Source* is also edited by the staff liaison and layout conducted by an outside third party. All decisions to include or exclude content are at the editor's and NEWWA's discretion.

- **Publishing**

The Source is published electronically four times a year according to the seasons (Winter, Spring, Summer, Fall), distributed to the membership via e-mail, and posted on the website for a year.

Currents Policy

Currents is published 7 times a year and is intended to be a 1-page, double-sided newsletter providing the membership with an opportunity to become aware of announcements pertaining to people, things, and job opportunities.

- **Purpose**

The purpose of *Currents* is to provide an outlet for the membership to announce events pertaining to people, things, and job opportunities. This service is provided free to the membership. *Currents* is specifically an outlet to announce these events in a way that does not promote a specific company or organization in a manner that may be construed as a marketing opportunity. It is understood that minor references to the membership's position at or within a company will be made to facilitate contact with them.

- **Advertising**

Currents provides an opportunity for the membership to purchase ad space (one ad per issue). Ad space is presently allowed at the bottom of the front page. The ad can be no larger than 1-inch in height and 6-inches in width. The ad is only printed in black and white and must conform to the context standards for ads as in the *Journal* or the *Source*.

- **Editing**

The editor of *Currents* receives and reviews submittals from the membership. The editor determines what content, subject matter, length, and frequency of submittals to be included in each issue. It is the membership's responsibility to provide the editor with a draft of the submittal that is similar in content, subject matter, length, and frequency, so that any editing will be minimal, and the membership's submittal will best fit with the format of *Currents*. *Currents* is produced in-house by NEWWA staff and all decisions to include or exclude content are at NEWWA's discretion.

- **Publishing**

Currents is produced and printed in-house at NEWWA and included in membership mailings 7 times a year: January, March, June, July, October, November, and December.

Advertising Policy

All consultant/associate members will receive a discount on all advertising of approximately 5 percent when possible.

Advertisements must be truthful and may not make fake or misleading claims. Advertisements must not misuse or misappropriate any other party's intellectual property rights or defame or disparage any other person, company, product, or service. The association reserves the right to review and reject any advertisement based on editorial judgment, which will not relieve advertiser from its payment obligations. All print and Web content is subject to NEWWA approval.

Editor Honorariums

Honorariums for NEWWA publication editors will be reviewed on a 1-year basis. It is the responsibility of the NEWWA Publications Committee to initiate this review.

Copyright Ownership

NEWWA will own all copyrights to content contained in any NEWWA publication. NEWWA shall have the option to use a Creative Commons public license with a standard set of terms and conditions that creators and other rights holders may use to share original works of NEWWA and other material subject to copyright with attribution giving appropriate credit with a link to the license, use of the material for non-commercial purposes, and remixing, transforming, or building upon the original material must be under the same license as the original. Exceptions to this policy and Creative Commons licenses may be granted only with the approval of the CEO.

If a publication is developed in collaboration with other parties, the copyright may be shared upon approval of CEO.

Use of NEWWA-Copyrighted Materials

Written permission to use NEWWA-copyrighted material must be obtained from the CEO for any use that extends beyond that allowed by Section 107 of the United States Copyright Act (“Fair Use”). NEWWA encourages links to materials that it posts on its website from the sites of others. No permission is required for links to NEWWA’s public web pages.

J. SOCIAL MEDIA POLICY

NEWWA recognizes the role of online communication tools such as blogs, social networking websites, chat rooms, etc. as channels for interaction among members, volunteers, staff, the media, and other stakeholders. NEWWA supports open, transparent, ethical, accurate communications.

NEWWA’s credibility is always at stake in these activities, so everyone who represents the association online must act as a responsible steward of its position as the authoritative resource for safe water. In particular, online communication by staff on behalf of NEWWA is governed by the Employee Handbook as well as applicable laws and regulations. NEWWA also requires that its members and volunteers to adopt these guidelines when they represent NEWWA online.

- **Identify yourself.** Disclose employment, volunteer status, or other association with NEWWA in all communications on behalf of the organization. Include this information in signatures that accompany messages where possible, but always be sure to tag your communications as NEWWA staff or other status. Don’t think you can maintain anonymity online; sites can and routinely do track the sources of user input, so you are always leaving a trail that can lead back to you and NEWWA.
- **Provide accurate information.** NEWWA staff and other representatives may not knowingly communicate untrue or deceptive information. Communications should be based on current, accurate, complete, and relevant data. Where possible, post links back to content on NEWWA.org or another website to corroborate assertions you make. NEWWA has limited control over the validity of information communicated via online channels, so it is the employee’s or other representative’s responsibility to assure accuracy in the first instance. Anecdotes and individual opinions should be identified as such, so they will not be mistaken for facts asserted by NEWWA.

- **Maintain ethical conduct.** NEWWA employees and other representatives will not conduct activities online that are illegal or contrary to policies outlined in the Employee Handbook or related policies.
- **Always secure member and customer data.** When members join and customers purchase from us, they place their trust not only in NEWWA's products and services, but also in its integrity as an organization. Staff and other representatives must always uphold NEWWA's promise to keep personal data secure and confidential. Never include any information relating to NEWWA's potential or existing members or customers in any online communication; to do so would breach NEWWA's privacy policy and possibly the law.
- **Protect confidential and proprietary information of organizations.** Give names only when needed and permitted by those individuals. Report aggregate and summary data when it will suffice, and never disclose specific details without permission. Always comply with laws regarding disclosure of confidential information and let representatives of other organizations decide for themselves how much they wish to disclose.
- **Use the appropriate platform.** When conducting official NEWWA business and online communications, employees and volunteers must use the existing tech platform on the NEWWA website rather than a third-party platform. For example, this means that electronic committee communications cannot be conducted on any platform other than the NEWWA website or via email.

K. WHISTLEBLOWER POLICY AND FRAUDELENT OR DISHONEST CONDUCT

NEWWA will investigate any possible fraudulent or dishonest use or misuse of NEWWA resources or property by management, staff, volunteers, or members. Anyone found to have engaged in fraudulent or dishonest conduct may be subject to disciplinary action by NEWWA up to and including civil or criminal prosecution when warranted.

All members of the NEWWA community are encouraged to report possible fraudulent or dishonest conduct (i.e. be a whistleblower). An employee should report their concerns to their supervisor. If for any reason an employee finds it difficult to report the concern to their supervisor, the employee can report it directly to the NEWWA Executive Committee members, NEWWA President, Accounting Manager, Treasurer, Deputy Executive Director, or the CEO.

Definitions

Baseless Allegations. Allegations made with reckless disregard for their truth or falsity. People making such allegations may be subject to institutional disciplinary action and/or legal claims by the individual who is subject to these allegations.

Fraudulent or Dishonest Conduct. A deliberate act or failure to act with the intention of obtaining an unauthorized benefit; examples of such conduct include but are not limited to:

1. Forgery or alteration of documents.
2. Unauthorized alteration or manipulation of computer files.
3. Pursuit of a benefit or misuse of NEWWA's resources, such as funds, supplies, or other assets.
4. Misappropriation or misuse of NEWWA's resources, such as funds, supplies, or other assets.
5. Authorizing or receiving compensation for goods not received or services not performed.

6. Authorizing or receiving compensation for hours not worked.

Whistleblower. An employee who informs a manager, supervisor, Treasurer, Accounting Manager, Deputy Executive Director, CEO, Executive Committee Chair, or NEWWA President about an activity that person believes to be fraudulent or dishonest.

NEWWA prohibits its employees, contractors, subcontractors, or other agents from discriminating in the terms and conditions of employment with respect to employees who:

1. Provide information to or assist in securities law investigations with NEWWA supervisors or investigators, federal regulatory or law enforcement agencies, or Congress, or
2. File, testify, participate in, or otherwise assist in any proceedings, including private actions, currently filed or to be filed involving alleged violations of the securities laws, SEC regulations or fraud.

NEWWA is committed to protecting employees from interference with or retaliation for having made a protected disclosure, or for having refused an illegal order.

Filing a Retaliation Complaint

A retaliation complaint may be filed directly with the Accounting Manager, Treasurer, Deputy Executive Director, President, or CEO. The claim may be submitted anonymously if the complainant so chooses. To submit an anonymous complaint, send a written or typed complaint to the following address:

New England Water Works Association
125 Hopping Brook Road
Holliston, MA 01746
Attention: Human Resources

A retaliation claim must be filed within 90 days of the retaliation behavior. If there is a pattern of retaliation, the complaint must be filed within 45 days of the most recent alleged act or threat of interference or retaliation.

Investigation

The complaint will be submitted to the President, CEO, and Corporate Counsel, if these individuals did not initially receive the complaint.

The Corporate Counsel may request any documentation or verbal statements by employees as may be legitimately required for appropriate fact finding. The employee filing the complaint may present their complaint to the Corporate Counsel in person.

Decision

If a finding that interference or retaliation has occurred, the Corporate Counsel will provide that information to the CEO. The determination is final and binding. The CEO sees to it that, through the appropriate channels, corrective action is taken against the employee who is found to have interfered or retaliated. The CEO will communicate the determination in writing to the complainant, if known, and to the person or persons accused of violating this policy.

With regard to complaints where it is alleged that the CEO interfered or took retaliatory action, the finding of the investigation shall be presented for a decision to the President of NEWWA.

Appeal

An employee may appeal the decision to the President of NEWWA only based on whether the complaint is timely and qualifies for review under the scope of this policy.

L. COOPERATIVE AGREEMENTS WITH OTHER ORGANIZATIONS/ASSOCIATIONS

To fulfill NEWWA's mission and its Strategic Plan, NEWWA may enter into cooperative agreements with other organizations and associations. These agreements will have defined roles and responsibilities outlined. When necessary, cooperative agreements will include work plans that further outline and specify particular intentions, tasks, and financial obligations between the parties. Cooperative agreements would be approved by the president and CEO. However, work plans would only need approval by the CEO.

M. OFFICIAL NEWWA SPOKESPERSON

The official public spokesperson for NEWWA shall be the CEO, President, or designee.

N. COPYRIGHTS AND TRADEMARKS

NEWWA holds the copyrights and/or trademarks on the below and reserves all rights for all use. We also protect the interests of our partners when using any of the below:

- a. NEWWA utilizes two logos: the original fountain logo from 1882 and the more modern fountain logo established in 2023. NEWWA holds exclusive rights to both logos. NEWWA may allow the use of its logos by other entities when a cooperative agreement and/or joint event are being planned.
- b. The name of all NEWWA publications and any derivative of the name that may cause confusion, particularly any publication regarding water or the water community. We also copyright by publication any of the editorial content within each issue.
- c. Any other activities, materials, publications, brochures, websites, conferences, training, videos, DVDs, etc. whether virtual or remote that we create and have a right to protect our interests.

O. PRIVACY POLICY / INTERNET PRIVACY POLICY

Purpose and Background

Our Internet Privacy Policy discloses how we protect our members' and customers' privacy by controlling the use of information we collect from them on the NEWWA's website. NEWWA has created this Internet Privacy Policy to demonstrate our commitment to our members' and customers' right to privacy. The following information discloses our information gathering and dissemination practices for NEWWA's website.

Availability

We will post this plan on the NEWWA website, www.newwa.org, and it will be linked from the front page and from any page where member information is collected.

Information Collected for Registrations

The NEWWA registration form collects only the information for which is specifically requested, and which is entered.

Personal Information

NEWWA restricts the collection of personal information to demographic characteristics which help us understand our members/customers and their needs (see below), and to information used in authorized transactions (for example: address and credit card number for online purchases).

Use of the Collected Information

We use the information collected in two ways: (1) used internally and for marketing purposes; (2) some information remains in computer files which are the basis of statistical reports, with no member/customer detail extracted. Each of these uses is discussed below.

- a. Information used internally and for marketing purposes: name, address, phone, fax, email, affiliation, industry, job title, and other similar information is used by NEWWA to understand its audiences and to offer member benefits and products to members/customers who are likely to be interested in them.
- b. Information used for statistical reports: We will collect data secured from conference registrations to assist us in creating reports about attendance, trends, program information, and etc. to help provide attendees with services and facilities to improve future training.

Information Provided to Third Parties

We may provide information to third parties not affiliated with NEWWA. . This information may be provided for a fee. However, only addresses shall be provided. Phone numbers and email addresses shall not be provided.

Use of Internet Cookies

Certain features of the website use an internet technology called "cookies." In brief, when a user visits one of these features, the web server sends a short string of characters to the user's browser. These characters are stored on the user's machine so that the server can identify the specific user later in the same visit or during a future visit. Users can set their browsers not to accept cookies, or to warn them when one is sent. They can also delete existing cookies. We believe that this technology enhances web customer service and saves users from restating their preferences on each visit. We do not permit downloads or cookies from third-party websites. We do not use cookies for any marketing purpose.

Data Security

We use several methods to transmit information submitted by customers. Increasingly, transactions are protected using SSL encryption software. This means that your credit card information, name, address, and email cannot be read as they travel across the Internet. SSL encryption is the standard for transactional security, and it is used by virtually all other e-commerce systems on the web.

Your Permission

By using the NEWWA website, you consent to the collection and use of the information by us. If we change our privacy or security policies in the future, those changes will be posted here so you always know what information we collect, how we use it, and how we protect it.

III. CONFERENCES AND MEETINGS

A. CRITERIA FOR SELECTING ANNUAL CONFERENCE LOCATIONS

Four categories are presented in descending order of importance. The first category is deemed the most important and required.

Each year's Site Selection Committee shall consider potential annual conference sites using these criteria. It should be noted that some potential conference locations may not satisfy all the criteria, but their other redeeming values could result in an excellent potential location.

These criteria are offered as a helpful tool. Each year's Site Selection Committee has the opportunity and responsibility to select annual conference locations as they deem appropriate.

| Annual Conference Selection Criteria | |
|---|---|
| Category 1 – Required | <ul style="list-style-type: none">• Number of available hotel rooms at least 165• Dining room seats at least 280 people• Multiple meeting rooms (minimum 6 rooms; 3 rooms holding at least 100 people)• Should be a location that is not restrictive to member attendance (e.g. casinos) |
| Annual Conference Selection Criteria (continued) | |
| Category 2 | <ul style="list-style-type: none">• New England preferred• Profitable to NEWWA• Appealing destination to members• Nearby golf course |
| Category 3 | <ul style="list-style-type: none">• Affordable• Onsite restaurant & bar• Nearby restaurants or all-inclusive• Parking facilities• Good condition of facilities• Electronic/Internet access• Note restrictions on late-night gatherings• Favorable contract terms |
| Category 4 | <ul style="list-style-type: none">• Avoid repeating location within 3 to 5 years |

B. GENERAL CONFERENCE AND MEETING POLICIES

Annual Conference Receptions

Annual conference-sponsored receptions must be proposed to the association by March 1st and will be approved by the president, Executive Committee, and CEO. The cost of the sponsored receptions is the responsibility of the sponsoring companies, unless otherwise negotiated. All opportunities would be first come, first served. A sponsor of a specific event will have first right of refusal the following year and must exercise the right within 60 days of the event's advertising.

Co-Sponsorship of Meetings

It is the policy of the association not to co-sponsor meetings with profit-based corporations. Co-sponsorship of meetings with non-profit organizations can be arranged, subject to the approval of the Board of Directors. If time does not permit, the President and CEO are empowered to give such approval and then report these decisions to the board.

Conference Registration Fees Waived

NEWWA will waive the annual meeting registration fee for Past Presidents who are retired from full-time employment and not subsidized by any company for their conference expenses.

Conference Spouse/Guest Registration

The spouse/guest conference registration is not to be used by a water works professional. It is an incentive to encourage spouse or significant other involvement in our association.

Exhibit Space

NEWWA will offer a free booth at its Spring Conference to NEWEA, CWWA, GMWEA, MWUA, MWWA, NWWA, and RIWWA, in addition to the state regulatory agencies and other associations as deemed appropriate and approved by the CEO and board of directors. NEWWA will encourage other associations to have similar policies.

Income Goal

There shall be a monetary return to the association on all association functions. It will be the goal to obtain a minimum of 10 percent revenue over expenses for conferences.

Joint Meetings

NEWWA may jointly sponsor meetings and programs that further the objectives of NEWWA. These meetings and programs will have written agreements that outline defined roles and responsibilities of all parties involved. When necessary, these agreements will include work plans that further outline and specify particular intentions and financial obligations. These agreements would be approved by the President and/or CEO.

Ordinary business agreements (e.g. hotels, printing, technology contracts, etc.) are not considered under this policy.

Membership Meeting Fee

The registration fee for membership meetings shall be determined by the CEO. A reduced fee may be charged for pre-registration in advance of the day of the meeting. When there is a joint meeting, the fee will be discussed with the other organization involved and the CEO will consider the other organization's concerns. The fee will cover the full cost of the membership meeting.

Conference/Meeting/Symposium/Event Reduced Registration Fees

NEWWA may offer reduced fees for students, young professionals, and other subsets of attendees on an event-by-event basis. Any offering of reduced registration fees should be targeted at increasing attendance for groups that may be underrepresented at a specific event. The CEO will have final approval on reduced registration fees.

Photograph and Information Release

All conference and meeting flyers will include the following photograph release information: "Photographs will be taken at this event. By registering for this event you agree to allow NEWWA to use your photo in any NEWWA-related publication or social media site."

Speaker & Moderator Fees & Expenses

In-person conference and membership meeting speakers and moderators will be allowed to register for conferences and events at a reduced fee. For conferences, the discount can be applied to a 1-day or a full conference registration. The association will budget to allow a speaker to petition the CEO to waive the registration fee for extraordinary circumstances.

For in-person symposia, complimentary registration will be provided to one speaker per presentation. Additional speakers will receive the member-discounted registration rate. Committee members who are attending and moderators will be offered 50 percent off the member-discounted registration rate.

Moderators and speakers will receive complimentary registration for virtual conferences, symposia, and membership meetings.

Providing expenses and fees for guest lecturers for conferences and events should be included in the budget and submitted 6 months in advance of the program. The Program Committee should make such request to the CEO and Executive Committee.

Spring Conference Reception

The reception held at the annual Spring Conference will be sponsored by all exhibitors and paid for through their registration fee.

Spring Conference Exhibitor Booth Discount

To encourage companies to become sponsors, NEWWA will offer a \$50 discount to companies exhibiting at the Spring Conference who also agree to be a sponsor.

Spring Conference Exhibitor Cancellation Policy

If a vendor relinquishes their booth location, they lose all rights to that location. All vendors have first right of refusal for their booth location from the previous year, as long as the

deposit is received by the stated deadline.

Any cancellation results in a forfeiture of the vendor's deposit.

The refund policy is as follows:

100% refund (minus deposit) before the end of the calendar year preceding the conference.

75% refund (minus deposit) 12 weeks before the conference.

50% refund (minus deposit) 6 weeks before the conference.

No refund if less than 6 weeks before the conference.

Exact dates will be determined and published by staff in the vendor packet.

Extenuating circumstances will be considered by the CEO.

Annual Conference Exhibitor Cancellation Policy

Any exhibit cancellation will be assessed an administrative fee.

The refund policy is as follows:

100% refund 9 weeks before the conference.

75% refund 4 weeks before the conference.

50% refund 2 weeks before the conference.

No refund if less than 2 weeks before the conference.

Exact dates will be determined and published by staff in the vendor packet.

Extenuating circumstances will be considered by the CEO.

Membership Meetings & Specialty Symposia Exhibitor Cancellation Policy

Any exhibit cancellation will be assessed an administrative fee. Cancellations received more than 2 weeks before the event will receive a full refund. Cancellations received within 2 weeks of the event will not receive a refund.

Extenuating circumstances will be considered by the CEO.

Spring Conference Attendee Cancellation Policy

Any registration cancellation is assessed an administrative fee. If you cancel within 5 business days of the conference you will be charged 100 percent of the original registration fee. This charge is non-refundable and non-transferable. Written refund/credit requests made for special circumstances will be considered on a case-by-case basis.

Annual Conference Attendee Cancellation Policy

Any registration cancellation is assessed an administrative fee. If you cancel within 15 business days of the conference you will be charged 100 percent of the original registration fee. This charge is non-refundable and non-transferable. Written refund/credit requests made for special circumstances will be considered on a case-by-case basis.

Membership Meetings and Specialty Symposia Attendee Cancellation Policy

Any registration cancellation is assessed an administrative fee. If you cancel within one (1) business day of the event or training you will be charged 100 percent of the original

registration fee. This charge is non-refundable and non-transferable. Written refund/credit requests made for special circumstances will be considered on a case-by-case basis.

Technical Presentations

Technical presentations may only be given once at NEWWA events (i.e., conference, meeting, symposium, etc.), whenever possible. Presentations involving case studies with multiple phases may be given as separate presentations for each phase but shall contain substantially different content.

Training Contact Hours Earned at Conferences, Specialty Symposia, and Membership Meetings

To obtain training contact hours for any event where they are offered, attendees must:

- Be present for a minimum of 90 percent of the session.
- No switching between sessions is permitted.
- Attendees must scan in AND scan out of all sessions with either a moderator or NEWWA staff member to obtain credit hours.
- If NEWWA's records only show a scan in OR a scan out of a session, and the attendee still wishes to obtain credit hours, then they must sign an affidavit certifying their full attendance, which will be kept on file at NEWWA and subject to audit.
- If NEWWA's records do not show EITHER a scan in and scan out of a session, then training contact hours will not be granted.
- In the event of a technical difficulty with the scanning system, the CEO will determine appropriate action.

C. PLANNING AND COUNCIL MEETINGS

Annually, the long-term strategic plan is reviewed and updated by the Planning Committee. During the review, recommendations may be made that may affect the development of the annual operating and capital improvement plan. A summary of the process is listed below:

1. The current Vice President will convene a Planning Committee starting in the fall of the year before the Vice President becomes President-elect (assuming the VP is voted to become President-Elect).
2. The Planning Committee consists of a diverse representation of members to represent states, gender, professional specialty, experience, and new members. The President will receive copies of all committee correspondence, and other committees will be consulted as necessary.
3. The Planning Committee starts to convene in the Fall. At the Spring Council Meeting (if held) the committee and membership bring discussion topics forward to review the Strategic Plan and discuss the focus areas for the Summer Planning meeting.
4. At the Summer Planning meeting, the committee's topics discussed in detail will lead to recommendations for the upcoming years.
5. By the September Board meeting, the Vice President will submit and seek approval of the Planning Committee's Long-Range Plan recommendations from the board
6. The Planning Committee's recommendations, when approved by the board, should be incorporated in the budget unless the board approves their exclusion before the adoption of the budget.

7. The Fall Council Meeting, in addition to other association business, is an opportunity for the outgoing Planning Committee chair to summarize the process from the past year and allow committees to integrate identified initiatives.

IV. EDUCATION AND TRAINING

Any reference to “training programs” and/or “meetings” herein shall apply to both virtual and in-person events

A. GENERAL EDUCATION AND TRAINING POLICIES

Flyers and Notices

All NEWWA training program marketing materials will follow current branding policies.

Recording of Training Courses

Third-party recording of NEWWA training courses without CEO approval is not permitted. NEWWA reserves the right to record all of its courses, meetings, and events for future use and reference.

Attendees are not allowed to record audio, video, or photograph any portion of the training programs or conferences. This includes courses, presentations, symposium, other meetings, conferences, exhibit hall or exhibit hall activities, or any other portion of a conference. Violators of this policy can be removed from the premises and can have their registration revoked with no refund of registration fees or penalty to NEWWA.

NEWWA reserves the right to use any photograph/video taken at any courses or events during conferences, symposium, meetings, or training courses without the expressed written permission of those included within the photograph/video. NEWWA may use the photograph/video in publications or other media material produced, including but not limited to: training courses, flyers, brochures, advertisements, invitations, postcards, websites, newsletters, etc.

Training Program Cancellation Policy

Any registration cancellation is assessed an administrative fee. If you cancel within one (1) business day of the event or training you will be charged 100 percent of the original registration fee. This charge is non-refundable and non-transferable. Written refund/credit requests made for special circumstances will be considered on a case-by-case basis.

Make-up Courses/Laboratories

If a student needs to schedule a make-up course, exam, or laboratory, they will be charged based on the current make-up fee schedule.

General Speaker Guidelines

The continuing education technical sessions provided by NEWWA are meant to provide attendees with relative topics, speakers, and presentations. Neither the content nor the use of specific products in a course should be construed as indicating endorsement or approval of the views presented or the products used by NEWWA. Speakers are required to inform participants of any financial, commercial, or promotional interest in a product or company

that may influence their presentations. NEWWA is not responsible for a speaker's failure to disclose such interest or to provide factual content. NEWWA encourages the attendees to make independent judgments as to the topics, speakers, and presentations, as the content of the program is not reviewed, approved, or necessarily agreed upon by NEWWA. As such, attendees acknowledge that any and all actions taken by the attendee are done so at their own risk and they further agree to hold NEWWA harmless from any and all liability in relation to the same. Attendees should be advised that courses, speakers, or scheduling may change without notice.

Training Recordkeeping Policy

Student Records

NEWWA will maintain all student records related to training for a period of not less than 7 years.

Individual student records will include the following information:

1. Course title
2. Date(s) of course
3. Date of completion
4. Continuing Education Units (CEUs) or training contact hours (TCHs) earned
5. Description of any course codes

These records will be maintained in paper and/or electronic files. Electronic files will be backed up daily on the association's cloud-based server. Daily back-up is indemnified by the association's management software provider.

Course Records

Current course records will be maintained for a minimum of 7 years in paper and/or electronic files which will include:

1. Needs assessments
2. Course outline
3. Learning outcomes
4. Handouts and a record of print media and other media utilized
5. Assessments of learning outcomes
6. Course evaluations
7. Summary of course evaluations
8. Attendance records

Certification Records

Certification records will be maintained for 7 years in paper and/or electronic files depending on the program.

Certification records (CEUs and TCHs) will not be released to a student until their record is paid in full.

Maintenance of Records

The NEWWA registrar will update all participant permanent record data within one month of completion of the learning event.

Release of Permanent Records

- A. The NEWWA registrar will issue a NEWWA confidential education transcript within 3 weeks (15 working days) from the date of receipt of the fully completed NEWWA Transcript Request Form.
- B. Employers who have covered the cost of a course/event for a student(s) may request proof of attendance by student(s).

B. Participation by Manufacturer's Agents, Distributors, or Consultants

The goal of New England Water Works Association's education and training programs is to provide relevant information in the most positive learning environment possible for every learning program. It is essential that any/all information covered in a presentation be directly related to the educational objectives of the learning program and remain strictly informational in nature. No endorsements of products and/or services are permitted as part of the presentation.

When a guest presenter or instructor is involved with a product or service available for sale, no active marketing can take place in the learning program. The presenter or guest will be listed in the program and/or introduced, recognizing the individual's employer. The guest presenter or instructor may distribute business cards/contact information upon request by learners in attendance.

When discussing specific products or services, discussion must focus on the product's availability, where learners can receive technical assistance, service, or parts. A stocking distributor(s) can be identified.

Guest presenters or instructors may present information on new technology. Manufacturer's literature and hardware may be utilized in the presentation with the approval of the lead instructor or lead moderator and the CEO or designee based on educational value and potential for learning program enrichment.

The following activities will not be conducted:

1. Active marketing or sales activity involving any learner or group of learners.
2. Comparison of an individual product or service with a competing product by means of listing advantages or disadvantages.

Guest presenters or instructors should be factual and must not make statements/claims with regard to product or service superiority.

The Program Committee, lead instructor, NEWWA training unit staff members, designated learning event moderator, CEO, or designee establishes time limits for all presenters. All guest presenters or instructors and each presentation on a given product or service must be approved by the lead instructor, lead moderator, CEO, or designee before the learning event.

C. Student Conduct Expectation Policy

Purpose

The New England Water Works Association (NEWWA) is committed to providing a professional, respectful, and safe learning environment for all students, instructors, and staff. To maintain this standard, all students participating in NEWWA training programs are expected to adhere to the following conduct expectations.

Professionalism and Respect

Students are expected to:

- Conduct themselves in a professional and courteous manner at all times.
- Treat instructors, fellow students, and NEWWA staff with respect and consideration.
- Arrive on time and be prepared to participate actively in class activities and discussions.
- Refrain from disruptive, disrespectful, or inappropriate behavior during class sessions, breaks, or any NEWWA-hosted function.

Substance Use Policy

To ensure the safety and professionalism of the learning environment:

- The use, possession, or influence of alcohol, marijuana (including for recreational or medical purposes), or any controlled substance is strictly prohibited during NEWWA training programs or while on NEWWA premises or partner facilities.
- Students found to be under the influence of controlled substances, including marijuana, will be subject to immediate removal from the course without refund.

Behavior and Compliance

- Students are expected to comply with all instructor directions, facility rules, and NEWWA policies.
- Inappropriate conduct—including but not limited to harassment, discrimination, disruptive behavior, or unsafe actions—will not be tolerated.*
- NEWWA reserves the right to determine, at its sole discretion, what constitutes inappropriate or unprofessional behavior.

Right to Refuse Service

NEWWA reserves the right to:

- Refuse service, enrollment, or continued participation to any student who fails to adhere to this policy.
- Remove any student from a training course or event for behavior deemed inappropriate, unsafe, or unprofessional.
- Deny future enrollment to individuals who have violated NEWWA's conduct expectations.

Acknowledgment

Participation in any NEWWA training program constitutes acknowledgment and acceptance of these conduct expectations. Students agree to abide by all terms as a condition of attendance.

*Also reference NEWWA's Category 6: Planning and Instructional Personnel Policies in NEWWA Policy Document, Pages 71-75.

D. International Association for Continuing Education and Training (IACET) Accreditation

Please see Appendix G-6 at the end of this document for the education program policy manual for compliance with ANSI-IACET standards for continuing education and training.

V. GOVERNANCE

A. **OFFICER RESPONSIBILITIES**

| Officer Committee Responsibilities | | | | | | | |
|--|--|-----------|-----------|-----------------|---------------------|----------------|--|
| President | <ul style="list-style-type: none"> • Executive Committee (Chair) <ul style="list-style-type: none"> - Personnel Sub-Committee (Chair) • Oversee Board and Volunteer Structure <ul style="list-style-type: none"> - The president can appoint a committee with a specific scope, including ad-hoc committees, with confirmation by the Board of Directors. - Appoints tellers of the election consisting of a head teller and two assistants. Tellers should be appointed no later than August 1st. | | | | | | |
| President-elect | <ul style="list-style-type: none"> • Executive Committee <ul style="list-style-type: none"> - Budget Sub-Committee (Chair) - Personnel Sub-Committee • Nominating Committee • Review policies and convene ad-hoc committees as needed | | | | | | |
| Vice President | <ul style="list-style-type: none"> • Executive Committee <ul style="list-style-type: none"> - Budget Sub-Committee (Vice Chair) - Personnel Sub-Committee • Organizational Development Committee (Chair) (meets as needed) • Planning Committee & Planning Session (Chair) • Site Selection Committee (Chair) | | | | | | |
| Past-President | <ul style="list-style-type: none"> • Personnel Sub-committee • Honorary Member Committee (Chair 2nd Year) • Nominating Committee (Most immediate being chair if able to serve. Chair for 1st year - on for 2 years) • Planning Committee • Coordination of new board member orientation | | | | | | |
| Emergency Capital Expenditures Approving Group | <table> <tr> <td>President</td><td>Treasurer</td></tr> <tr> <td>President-Elect</td><td>Assistant Treasurer</td></tr> <tr> <td>Vice President</td><td></td></tr> </table> | President | Treasurer | President-Elect | Assistant Treasurer | Vice President | |
| President | Treasurer | | | | | | |
| President-Elect | Assistant Treasurer | | | | | | |
| Vice President | | | | | | | |

| Officer Meeting Responsibilities | | |
|--|---|---|
| NEWWA and Regional Association Meetings | | |
| Meeting | Date | Staff Attendees |
| Executive Committee | November, December, January, February, March, May/June, and September. | CEO, Deputy Executive Director and additional staff as requested. |
| Budget Sub-Committee | December, January and with the Executive Committee in February and March. | CEO, Deputy Executive Director, and additional staff as requested. |
| Personnel Sub-Committee | December, and as needed. | CEO initiates the meeting but is not a member. |
| Council Meetings | Each fall in October/November, and in the spring in April/May (optional). | <u>Board members</u> are invited and encouraged to attend. <u>Staff</u> : CEO, Deputy Executive Director Volunteer & Membership Coordinator, Events & Marketing Manager, Instructor/Education Coordinator |
| New England Regional State Association | Held Monday of the annual conference in September (12:00 PM) and Tuesday of the Spring Conference (12:00 PM). | CEO All board members are invited to attend. |
| New England Regional Meetings with sister organizations (NEWEA & NEAPWA) | Held at each organization's conference. | <u>Board Members</u> : President, President-Elect, and Past President. <u>Staff</u> : CEO and additional staff as requested. |

| Legislative Issues |
|--|
| The CEO, President, and Chair(s) of the Legislative & Regulatory Affairs Committee can issue comments, if needed, prior to scheduled meetings. |

(Revised 2024-04-02)

B. Assistant Treasurer Appointment Process

The Assistant Treasurer is appointed by the full board and serves a term concurrent with the Treasurer. The selection process will be led by the Treasurer and will include the current Assistant Treasurer and the CEO. The Treasurer may consult the Executive Committee at their discretion. The Selection Committee will make a recommendation to the Board of Directors for the election.

C. Board, Councils, and Committees

Board of Directors' Meeting Packet

The agenda and packet for board meetings should be compiled and reviewed by the President and CEO before distribution. The goal should be to distribute the packet a week before the board meeting; it should not be less than three business days before the meeting, except in extenuating circumstances.

Board of Directors' Consent Agenda

The Consent Agenda will be a segment of the Board of Directors' agenda.

Procedure:

1. Only items prepared in writing and submitted 3 days before a meeting can be placed on the consent agenda.
2. Items on the consent agenda are not discussed and are voted on in a single motion.
3. Any single member of the Board of Directors can request to remove an item and have it placed on the regular agenda in the appropriate location. There is no discussion on removing the item; it will be removed on request of a single member.
4. Items cannot be added to the Consent Agenda at the meeting.

Board of Director Recognition

NEWWA will present recognition certificates for services as a member of the Board of Directors. Members completing term(s) of service will receive a mounted certificate that will be presented at the completion of a term if the member is not continuing to another position on the board.

Committee Chair Guidelines

To continue growth opportunities for members, the association will limit, except for Standards Committees, the term of office of any chair on very active committees to not more than 3 years. Committees not changing chairs every 3 years should target 6 years or at the discretion of the Board of Directors. Because of extenuating or special circumstances, the board may vote to further extend the term of a chair. Committee Chair responsibilities are included in Appendix G-2. Committee Member responsibilities are included in Appendix G-3.

Committee Chair Recognition

NEWWA will present recognition certificates for services as chair of the various working committees. The certificates will be presented at the annual conference or December membership meeting according to the following criteria:

Very Active Committees: Chair limited to three - 1 year terms of service. A mounted certificate will be presented at the completion of service (committees include Program, Membership, Sponsor Services, Education, and others designated by the Board of Directors).

Less Active Committees: Or those where the committee chairs may serve greater than 3 years (with board approval). The certificate is for 3 years of service. After 3 years, additional certificates at 6, 10, 15, and 20 years of service. A mounted certificate at 10 years of service or when term is complete - whichever comes first.

Single 1-year committee chair assignments as part of an officer's duties will not receive certificates.

Council Missions, Guidelines, and Member Responsibilities

NEWWA committees are organized under councils headed by a board director. The detailed mission of each council, their guidelines for operation, and council member responsibilities are included in Appendix G-1.

Council Directors' Reports

Directors responsible for councils must submit a written and/or oral summary report for the Board of Directors according to the schedule agreed to at the board meeting during the annual conference.

Council Meetings

The President schedules a Fall Council Meeting to discuss plans for the upcoming year. Additional council meetings will be determined by the president.

Ad Hoc Committees

The establishment of an Ad Hoc Committee shall be recommended by the president and approved by the Board of Directors. Members of the Ad Hoc Committee shall be nominated by the president and members as well as the committee's objective approved by the Board of Directors. An Ad Hoc Committee is to assist the Board of Directors in an evaluation of a specific topic and to make recommendations to the Board of Directors consistent with the objectives of the Ad Hoc Committee. Ad Hoc Committees shall exist for a limited duration. The Ad Hoc Committee shall be established for no more than 12 months unless reauthorized by the Board of Directors. An Ad Hoc Committee shall be dissolved upon the completion of its objective.

D. NOMINEES GUIDANCE

Below is an example of nominees' guidance to go to the membership each January (open positions change annually):

1. **President-elect** and **Vice President**: 1-year term each; the **President-elect** moves through chairs for 3 total years of service.
2. **State Directors** - one each from New Hampshire, Vermont, and Maine for 3-year terms. (The current Vermont state director and Maine state director can stand for re-election.)
3. **Director-at-Large** - one position for a 3-year term. (The current director-at-large can stand for re-election). The association created the director-at-large positions to add diversity to the board and encourage representation on the board by age, women, minorities, and diversity of professional discipline, like vendor representative, etc.

Nomination Guidelines Excerpt: General for All Positions

1. A candidate must have been a member of NEWWA for 3 years unless waived by a 2/3 vote of the Nominating Committee. (Elected candidate must be a member of NEWWA while holding office.)
2. Candidates shall have a minimum of five (5) years professional experience in the waterworks field to be considered for nomination unless waived by a 2/3 vote of the Nominating Committee.
3. A candidate must have the ability and a willingness to participate actively.
4. Candidates for nomination should be made aware of the following:

5. Attendance is expected at all regular and special meetings of the board and assigned committees. The meetings are held throughout the New England region necessitating overnight stays at some locations. NEWWA typically schedules seven board meetings annually in coordination with conferences and the monthly membership meetings or at NEWWA. In addition, two multi-day board meetings are scheduled for the Planning Session held in July/August and the Annual Conference, which is held in September. Board members are expected to register for conferences and monthly meetings. Also, Board member attendance is required at Council Meetings. **A total of 10 Board and Council/Planning meetings occur per year**. The time and travel commitment necessitates that each candidate discuss their interest in seeking the nomination for officer or director of NEWWA with their employer. In particular, emphasis must be placed on both the time and financial commitment required by the employer. A candidate will obtain from their employer a written statement that acknowledges that the employer approves and will support their candidacy. Such a statement will be included with the candidate's letter of interest and qualifications.
6. The Nominating Committee has the latitude to bring forward single or multiple nominees for an office if they feel each is an equally worthy candidate and the best choice for the long-term future of the association.

Additional Considerations for State Directors

1. An individual who wishes to be considered for nomination as a state director must reside or work in the state for which the director's position is open on the NEWWA board.
2. A candidate shall be currently active or shall have a history of past activity in providing commendable service to NEWWA, the profession, and/or state water works organization. NEWWA leadership/committee roles are given additional consideration.
3. Candidates are encouraged to obtain a recommendation from state organizations, but it is not a requirement. State organizations are encouraged to recommend two or more candidates if possible. The NEWWA Nominating Committee shall consider all qualified candidates.

Directors-at-Large

The Nominating Committee will nominate candidates to fill these positions so that the Board of Directors represents the diverse nature of the association membership. For example: age, gender, race, committee involvement, diversity of professional discipline, such as manufacturers' representative or regulator, etc., and provide an opportunity for those committed to NEWWA to advance. The Nominating Committee will make reasonable efforts to maintain the geographic diversity in the nomination of these candidates.

Other NEWWA Officers

The Nominating Committee will search out the best candidates to lead the association. The positions of president-elect, vice president, and treasurer require a thorough understanding of NEWWA and the membership. A candidate shall be currently active or shall have a history of past activity to providing commendable service to NEWWA, the profession, and possibly a state water works organization. Demonstrated leadership is required.

Procedures for all positions - Deadline March 31:

1. All individuals who wish to be considered for nomination for any NEWWA position must submit their name and information in (b) below to the NEWWA Nominating Committee.
 - a. Individuals who wish to be considered for nomination as a state director of NEWWA and want a letter of support of the state organization should also submit the information below to the state association board of directors and ask them to send a letter of support to the NEWWA Nominating Committee. **State organizations must have support letters and any information returned to NEWWA by March 31.**
 - b. Individuals who wish to be considered for any position should submit a resume of their professional qualifications, a statement of interest, and an employer letter in support of their candidacy directly to NEWWA.

Send to: NEWWA Nominating Committee

CEO
New England Water Works Association, Inc.
125 Hopping Brook Road
Holliston, MA 01746-1471

E. Teller Reports

Tellers will only report the winners of the election at the annual conference. The full Teller Report will be published in the December issue of the *NEWWA Journal*.

F. BYLAWS REVIEW AND CHANGES

All Bylaws shall be reviewed every 3 to 5 years. The CEO shall work with the president-elect to establish an Ad Hoc Bylaws Review Committee to accomplish the task. The president-elect shall be the chair of the Ad Hoc Bylaws Review Committee. The committee shall be responsible for maintaining the bylaws and making any recommended changes as required.

Please reference Article 14 in the Constitution and Bylaws of the New England Water Works Association, Inc. for procedures on how to amend the bylaws.



Appendix G-1: COUNCIL MISSIONS & COUNCIL DIRECTOR RESPONSIBILITIES

**(Approved by NEWWA Board of Directors
September 14, 2003. Reapproved on April 2, 2024.)**

ADMINISTRATION COUNCIL MISSION

The Administration Council shall be responsible for the overview of broad aspects of the association's major activities, particularly related to the organization, administration, conferences, and meetings. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to help implement the NEWWA Strategic Plan.

COMMUNICATIONS COUNCIL MISSION

The Communications Council works to publicly position NEWWA as an effective advocate for the drinking water profession, public water supplies, and to educate the public on drinking water-related topics through print, electronic media, and other formats as appropriate. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to help implement the NEWWA Strategic Plan.

ENVIRONMENTAL STEWARDSHIP COUNCIL MISSION

The Environmental Stewardship Council shall be responsible for developing response and comment within the framework of association policy on research and legislative and regulatory matters directly affecting the drinking water community. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to help implement the NEWWA Strategic Plan.

EXTERNAL AFFAIRS COUNCIL MISSION

The External Affairs Council works to develop and coordinate activities reaching outside the membership, actively promoting the association to individuals and organizations to stimulate participation. The council coordinates programs that support involvement in the global drinking water community and recognizes significant work of external individuals or places. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to help implement the NEWWA Strategic Plan.

MANAGEMENT COUNCIL MISSION

The Management Council shall promote the objectives of the association through its standing committees and work groups by the development and presentation of management topics at conferences, meetings, workshops, and seminars; the development of handbooks, survey reports, videos, and other materials and products. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to help implement the NEWWA Strategic Plan.

OPERATIONS COUNCIL MISSION

The Operations Council shall promote the objectives of the association through its standing committees and work groups by the development and presentation of water system operations topics at conferences, meetings, workshops, and seminars; the development of handbooks, survey reports, videos, and other materials and products. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to help implement the NEWWA Strategic Plan.

PROFESSIONAL DEVELOPMENT COUNCIL MISSION

The Professional Development Council shall support the objectives of the association by developing goals, guidelines, and policies on matters that promote professional development, positive self-image, and sustainable careers for those in the drinking water community. The Professional Development Council shall be responsible for developing program goals, guidelines, and rules on matters directly affecting the professional development and careers of those in the drinking water community. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to help implement the NEWWA Strategic Plan.

RECOGNITION COUNCIL MISSION

The Recognition Council shall be responsible for the implementation of the association's award's program to recognize the outstanding work of all involved in the advancement of drinking water supplies, public health, watershed protection, and accomplishing the mission of the association. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to help implement the NEWWA Strategic Plan.

STANDARDS COUNCIL MISSION

The Standards Council shall be responsible for the active participation of NEWWA in the development of AWWA standards and other related publications for the fulfillment of the objectives of the association. The council will promote the understanding and use of standards. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to help implement the NEWWA Strategic Plan.

WATER QUALITY AND TREATMENT COUNCIL MISSION

The Water Quality and Treatment Council shall promote the objectives of the association through its standing committees and work groups by the development and presentation of water quality and treatment topics at conferences, meetings, workshops, and seminars; the development of handbooks, survey reports, videos, and other materials and products. The council shall ensure that effective liaison exists with other units of NEWWA and other related organizations. The council will develop a council plan aligned with and to implement the NEWWA Strategic Plan.



Appendix G-1 (con't): COUNCIL MISSIONS & COUNCIL DIRECTOR RESPONSIBILITIES

COUNCIL DIRECTOR RESPONSIBILITIES

BASIC FUNCTION

Each director, when appointed by the president to serve as a "Council Director," shall ensure that the following responsibilities are carried out:

1. Serve as communications link for the association Board of Directors to the councils, committees, state associations, members, and non-members.
2. Recruit new committee members, recruit and monitor chairs of association committees, identify members for advancement or recognition in the association.
3. Enthusiastically complete the duties as Council Director which include:
 - a. Holding council meetings to share policies and direction of the association,
 - b. Leading the development of goals, directions, and objectives for the council and committees based on the association's plan, and
 - c. Implementing those goals and objectives and obtain feedback on ideas, plans, projects, and budgets from the committee to the board.
4. Mentor new committee chairs and assist in recruiting committee members.
5. Provide the board with status reports on all committees assigned and provide a written annual report for the council and committees assigned.
6. Develop strong communication ties with state and other water works associations assigned by attending their board and membership meetings on a regular basis whenever possible.
7. Be an **advocate** for NEWWA and the purpose of promoting public health, safety and welfare through the advancement and dissemination of knowledge relating to public water supply.
8. Compile an accounting of all committees under their jurisdiction and submit such report annually to the Board of Directors by September 1st. The annual report is presented by you at the annual business meeting and given to the CEO and Journal Editor. Said accounting to include:
 - a. Committee name and scope.
 - b. Committee chair.
 - c. Committee members.
 - d. An annual report from each committee.
 - e. A recommendation as to the continued need for each committee.
 - f. A recommendation to the President-elect for chair of each committee for the coming year.



RECOGNITION COUNCIL COMMITTEE GUIDELINES

Award Nominations

A full list of NEWWA awards and a link to each award nomination form can be found on the awards and scholarship page of the NEWWA Web site. A reminder is published in the December monthly meeting flyer about available awards with contact information for each individual award committee.

In mid-April, the Recognition Council Director should remind chairs about organizing their committee(s) and confirming their committee rosters. The NEWWA membership and volunteer coordinator can provide a current roster. Recognition committee chairs should confirm their rosters by May 1st as these committees are published in the annual conference program which goes to print the 1st-2nd week of May. The council director should also remind committee chairs that nominations need to be returned to NEWWA by July 1st. The completed nomination form and final nomination should be returned to the NEWWA membership and volunteer coordinator no later than the 3rd week of July so that plaques can be ordered.

Recognition Council Award Committee Mission and Make-up

Award of Merit – Nomination deadline July 1st

Committee Mission: Reviews and votes on nominations according to the Rules Governing the NEWWA Award of Merit. The award is presented to a member for outstanding service to NEWWA, a water utility, and/or outstanding contribution to the water works practice. The committee also recommends the Volunteer of the Year Award that recognizes an individual's outstanding service to NEWWA throughout the calendar year that goes above and beyond expectations.

Committee Make-up: The chair alternates between the Dexter Brackett, Past Presidents, and Award of Merit recipients. The chair is the next most senior recipient of the award who is willing and able to serve as an active participant and is an active member of the committee. Should all recipients in order of seniority serve or decline to serve, then the order of selection will revert to the most senior recipient. The secretary of the committee should be a member in good standing of the committee. The current secretary of the committee provided the following list of chairs up to the year 2021:

| Year to be Chair | Name | Award Year | Award |
|------------------|----------------|------------|-----------------|
| 2016 | Windsor Sung | 2005 | Dexter Brackett |
| 2017 | David Pinsky | 2007 | Past Presidents |
| 2018 | Ted Kenney | 1998 | Award of Merit |
| 2019 | Marcis Kempe | 2005 | Dexter Brackett |
| 2020 | Kristen Berger | 2007 | Past Presidents |
| 2021 | Carol Harris | 1999 | Award of Merit |

The above list is tentative based on the continuation of membership in NEWWA and other criteria the committee may deem appropriate.

David M. Erickson Groundwater Award – Application deadline May 30th

Committee Mission: Recognizes an individual member of NEWWA, current or retired, who has demonstrated commitment to the technical advancement of the groundwater industry in New England.

Committee Make-up: A sub-committee of the Groundwater Committee consisting of five members who are hydrogeologists and members of the Groundwater Committee as well as the most recent recipient of the award, willing and able to serve.

Honorary Member – Nomination deadline January 1st (Issued as deserved)

Committee Mission: Recommends candidates to the board of directors for NEWWA honorary membership. A NEWWA Honorary Member shall be a person of eminence in some branch of water works practice or water works engineering, or a member who has been outstanding in his/her promotion of the welfare of the association or in a profession of water supply. There are 35 slots that can be filled.

Committee Make-up: Consists of the second past president as chair, the immediate past president, and a past president whose term as president ceased at least five years previously, willing and able to serve. This third member will be chosen by the current president. The CEO will be an ex-officio member and serve as the committee secretary.

Jerome J. Healey Award – Nomination deadline July 1st

Committee Mission: Considers candidates for the award and reports their recommendation to the board of directors.

Committee Goals: Evaluates candidates who have exhibited dedicated and distinguished service in the drinking water profession and who have promoted the drinking water profession to the public and enhanced the relationship between the regulated community and the state and federal personnel.

Committee Make-up: Committee membership consists of two past presidents and the three most recent Jerome Healey award recipients willing and able to serve.

John H. Chaffee Distinguished Public Servant Award – Nomination Deadline July 1st

Committee Mission: Recognizes individual(s) or agency(ies) that demonstrate clear leadership that embodies commitment to principles and pursues what is right while championing the causes of the environment and public health.

Committee Make-up: Consists of member of the Legislative Affairs Committee, a member of the Public Relations Committee, the vice president, the Communication Council Director, and the CEO.

K.O. Hodgson Distinguished Service Award – Nomination deadline July 1st

Committee Mission: Provides recognition for outstanding service to NEWWA and the water works industry by a member from the supplier, manufacturing, or service areas of the industry who has provided exemplary service and dedication to furthering the ideals of the association.

Committee Goals: Determines what member of the manufacturing, contracting, or supply community best represents NEWWA through active service, participation, and involvement.

Committee Make-up: Consists of the most senior past award recipient as chair, the four most recent award recipients, the past president, and two manufacturer board members.

Legislator of the Year Award – Nomination deadline July 1st

Committee Mission: Recognizes a member or members of Congress or a state legislative body who has substantially assisted in the promotion of legislation or advancement of policy that protects public health and the environment while ensuring safe drinking water.

Committee Make-up: Consists of a member of the Legislative Affairs Committee, a member of the Public Relations Committee, the vice president, the Communication Council Director, and the CEO.

Lifetime Achievement Award – Issued as deserved

Committee Mission: Considers candidates for substantial achievements, clear character and professionalism, and who is a well established NEWWA member for 20 years. The award may be made posthumously. The candidate's influence on the water supply profession must be felt in the practices, inventions, or literature for which they were responsible.

Committee Make-up: Consists of the President (Chair), Past President, President-Elect, Vice President, and CEO.

Publications Awards (Dexter Brackett and Past Presidents)

Committee Mission: Reviews articles published in the NEWWA Journal during the past year. The Dexter Brackett Award recognizes the most meritorious paper; the Past President's Award recognizes the 2nd most meritorious authored paper. The chair submits their recommendation to the CEO. In addition, the Journal Award of Special Recognition may be awarded to recognize extraordinary preparation, research, analysis, and presentation of information.

Committee Make-up: Chair is appointed by the president. The board of directors annually appoints three NEWWA members who shall constitute a committee to recommend the award recipients for the preceding year. The appointments shall be made not later than the regular meeting in February. Members of the board of directors shall not be eligible for appointment to this committee, nor shall the author or co-author of any paper which is to be considered by the committee.

Sponsor of the Year – Nomination deadline July 1st

Committee Mission: Recognizes a member company's outstanding contribution of resources to the association including number of members, committee involvement, advertising, sponsorship, golf classic support, and exhibit participation.

Committee Make-up: Consists of members who are employed by a utility or regulatory agency and represent each New England state. A member of the board of directors will serve on the committee. The president will recommend and the board of directors will confirm the committee membership.

Utility Recognition Awards – Nomination deadline July 1st

Committee Mission (Utility of the Year Award): Recommends and votes on a member utility to receive the awards. The Utility of the Year Award recognizes a utility's significant improvements to water system infrastructure, customer service, staff training, and operations to further protect public health of the customers it serves. Given to small (-3,300 population served), medium (3,301-49,999 population served), and large (+50,000 population served). The Utility Service Award recognizes a utility's significant contributions to the association via committees, programs, presentations, and volunteer service.

Committee Make-up: Consists of 5 council directors. The director of the Management Council will chair the committee. Other members should include the directors responsible for the

Environmental Stewardship Council, the Operations Council, Water Quality and Treatment Council and Standards Council.

The above recommendation is made as a policy recommendation so the committee members will be filled by the council directors in these positions in the future. The president can make adjustments to the assignments due to a request from a director or to balance the diversity of the committee.

**Younger Member of the Year and
Young Professional Employer Support Awards – Nomination deadline July 1st**

Committee Mission: Oversees the selection of the Younger Member of the Year Award that recognizes a NEWWA member who is under 35 years old or new to the water works profession and who has demonstrated outstanding service to NEWWA through active participation in NEWWA programs, committees, and/or presentations. The Young Professional Employer Support Award recognizes a member company's significant effort to support young professional involvement.

Committee Make-up: Committee will be chaired by a member of the board of directors, recommended by the president and confirmed by the board. Members of the committee will consist of the four most recent recipients of the award, willing and able to serve.

(Updated 2024-04-02)



STANDARDS COUNCIL COMMITTEE GUIDELINES

STANDARDS COUNCIL COMMITTEE GUIDELINES

New England Water Works Association looks to have an active member that acts as a representative for New England on each AWWA national standards committee. This New England representative at AWWA will be named a "chair" of the accompanying NEWWA standards committee. There are 39 standards committees that NEWWA maintains because NEWWA has a long history of contributing to standards and arranged to have a designated New England representative on each standards committee after NEWWA became an AWWA section in 1987. AWWA and NEWWA, Inc. were co-secretariats prior to the affiliation in 1987.

The individual who applies to be the New England representative on the AWWA committee will have no additional responsibilities as NEWWA chair other than sending a report to the current Standards Council Director when their standard is up for review. Acting as a NEWWA standards chair means you are keeping New England Water Works Association informed about the status of the standard you work with.

Individuals interested in being named the New England representative on an AWWA standards committee/ NEWWA standards committee chair, are required to submit a brief resume or work history to the AWWA senior manager of standards to show their expertise on the topic. A NEWWA representative must be a regulatory agency or utility member. **Vendors are not eligible to serve as the NEWWA representative on standards committees.** Once approved by AWWA, the individual will be appointed to the AWWA standards committee. The NEWWA Board of Directors must vote and approve appointment of the individual as NEWWA standards committee chair.



Appendix G-2: Committee Chair Position Description

Basic Function

Consistent with the association's policy and strategic plan, the committee chair guides the committee in its work as outlined by the scope of work and charge from the president. The chair needs to facilitate the committee working to keep all involved and providing feedback and reports to the Board of Directors on the committee's progress. Each committee chair shall be appointed by the president and confirmed by the Board of Directors. Committee chairs can serve multiple terms.

Responsibilities to the Council Director

- Reviews the committee scope and recommends any changes.
- Keeps the Council Director informed on a regular basis of the committee's activities.
- Coordinates and submits an annual goal statement by the committee.

Responsibilities to the Board of Directors

- Reports on committee activities and requests for action.
- Makes policy recommendations.

Responsibilities

- Welcomes members and prospective volunteers to participate and maintains an updated roster.
- Announces the availability and facilitates the appointment of a vice chair and secretary.
- Develops a work plan that will allow the committee to effectively and efficiently discharge its responsibilities for the year.
- Develops agendas and conducts timely committee meetings.
- Guides the committee in proposing products and services that will further the goals and objectives of the association.
- Serves as a member of the council in which the committee falls and has the committee vice chair or another member serve as an alternate.
- Participates in the council meetings, including the developing of long range and annual plans.
- Ensures that the work of the committee is carried out, including annual plan assignments.
- Reports back to the committee the Board of Directors or Executive Committee's decisions that affect the committee's work or activities.
- Provides the opportunity for others to be nominated for committee leadership positions on a committee meeting agenda annually.
- Presents a written annual report of the committee's activities including committee mission, goals, meetings, members, accomplishments, future plans, and a recommendation for committee chair for the upcoming year. The committee annual report is due each year in August.
- Facilitate the smooth transition to the next committee chair.



Appendix G-3: Committee Member Position Description

Basic Function

Reports to the committee chair. Actively participates in the work of the committee; provides thoughtful input to the deliberations of the committee; focuses on the best interests of the association and the committee rather than on personal or constituent interests; and works toward fulfilling the association's and committee's goals.

Responsibilities

- Reviews relevant material before committee meetings. Make contributions and voices objective opinions on issues.
- Attends committee meetings regularly.
- Carries out individual assignments made by the committee chair.
- Works as part of the committee and staff team to ensure that the committee proposes policies and/or develops products and services that help association members and staff who are responsible for programs within the scope of interest of the committee.
- Actively participates in committee meetings and supports the consensus building process.
- Represents the committee in meetings of other association groups when assigned or volunteers. Reports back to the committee chair and full committee on the meeting.
- Promotes clarity within the committee on the committee's role and how it supports and fits within the interests of the association.
- Maintains an active membership with the association.



APPENDIX G-4

GUIDELINES AND AUTHOR INSTRUCTIONS FOR THE PREPARATION OF PAPERS FOR PUBLICATION IN THE JOURNAL OF THE NEW ENGLAND WATER WORKS ASSOCIATION, Inc.

| LENGTH | FORMAT | IMAGES |
|---|---|---|
| There are no requirements on length, papers can be short or long. As a reference, 5,000 words with plentiful and clear visuals including tables, graphs, and images would lay out as a 12-page article. | A 100-word abstract is required for all papers. The text should be subdivided by major headings such as, but not necessarily limited to, Introduction, Discussion, Results, Summary, Conclusions, References, etc. Please include, title, date of submission or presentation, full author information and a headshot. | High quality and original photos ideally in .jpeg or .png format (minimum 300 dpi) must be sent as separate files AND inserted into the word document for placement purposes. Photos and charts should include captions and be labeled as Figures; Figure 1, Figure 2, etc. Tables should be labeled as Table 1, Table 2, etc. Scanned photos and photos under 100 kB are generally not high quality and will not reproduce well. |

What to Send

The author is responsible for submitting the following items. Material provided will *not* be returned. Materials should be submitted by email to Michelle Clements, Journal Editor, at newwajournal@gmail.com. If content is too large to email, photos can be sent in multiple emails or a link provided to download items.

1. Signed and dated **Copyright Transfer Agreement** form.
2. An electronic file version (Word document) of the paper (no pdfs).
3. High quality images (graphs, diagrams, photos) as separate attached files and within the word document for placement purposes. Photos should be captioned and labeled appropriately as Figure 1, Figure 2, etc.
4. A headshot and contact information for all authors.
Author's full name
Author's title
Current employment\affiliation
Postal and email addresses
Telephone number
Head shot/portrait

Copyright Transfer Agreement. Papers must be original work and not published in its present form. No paper can be included in a NEWWA, Inc publication without this copyright transfer form. *Do not alter this form.* The form can be found on the reverse side.

Approvals and Permissions. It is the author's responsibility to obtain all necessary approvals from the author's employer prior to submission of the paper. If a figure, photograph, or table has been published previously, the **author** must obtain written approval from the original publisher. NEWWA, Inc cannot

reproduce a previously published item without this permission. In addition, all photographs must have the photographer's permission to print.

General Information

The *Journal* will consider papers for publication which are pertinent to the drinking water field and are presented before a meeting of the association; or are solicited by the editors or Program Committee from knowledgeable individuals but which may not be formally presented at a meeting of the association; or are papers of general interest to the water works industry.

Unsolicited papers are received with the understanding that they have not been published nor are they under consideration by any other publication. If a paper is not scheduled for publication within one year following its receipt, the author(s) may request its return and this will be done promptly.

Editorial Policy

The *JOURNAL* reserves the right to edit all papers for style, grammar, and readability. All papers must be written in a factual and objective manner. If specific services or products are involved, it is preferred to have the paper written from the perspective of the user of the service or product. Galley proofs will be sent to authors for review before publication, and each author will receive two complimentary copies of the *JOURNAL* in which the paper appears. Reprints of papers can be arranged **at the time of publication** at the author's expense. Published papers, unless otherwise noted, become the property of the association and will be copyrighted as part of the *JOURNAL*. Content of the paper is the responsibility of the author; the association as a body and the editors are not responsible for the content of published papers.

If the author or his/her employer wishes to repost a *JOURNAL* article for marketing or educational purposes, the following language must be used: "Article reprinted (or reposted, if online) with permission by the New England Water Works Association, Inc."

Style

The paper must be written in best possible technical and grammatical English. Titles should be concise and should describe the content of the paper. If you have a long title, please consider a **Title: Subtitle** format.

System of Units. Each author must use the International System of Units (SI) and units acceptable in SI. Other units may be given in parentheses, dual-unit tables, or an appendix. A complete guide to the SI system and its use is available from ASCE at <http://www.asce.org/codes-standards/> or the National Institute of Standards and Technology at <http://www.nist.gov/pml/pubs/sp811/>.

References: All references should appear together, *single-spaced*, at the end of the paper. References are listed alphabetically by last name of the first author. When two or more references by the same author are listed, year of publication is taken into account, and the earliest work is listed first. Wherever reference is made in the text to an author's work, the author's name and year of publication should appear in parentheses. All listed references must be cited in the text. For material that is not cited in text, create a section or an appendix called "Additional Information" or "Related Materials." *Chemical Abstracts* style is followed. For example: **Book** - Author's last name, initials. *Title of book*. Publisher, place published (year of publication). **Government publication** - Title of reference. Publication's name and number. Agency's name, city, state (date). **Journal Citations** - Author's last name, initials. Title of article. *Name of journal* (spell out), volume number; issue number; beginning page number of article (month and year of publication).

Examples: Burka, L.P. (1993). "A hypertext history of multi-user dimensions." *MUD history*, <http://www.ccs.neu.edu/home/lpb/mud-history.html> (Dec. 5, 1994).
 Fisher, J.W., and Struik, J.H.A. (1974) *Guide to design criteria for bolted and riveted joints*, Wiley, New York.

GUIDELINES FOR THE PEER REVIEW OPTION OF THE PAPERS APPEARING IN THE JOURNAL OF THE NEW ENGLAND WATER WORKS ASSOCIATION, Inc.

The New England Water Works Association is pleased to announce that beginning in 2003, the *Journal of the New England Water Works Association, Inc.* will be providing an option to authors to have their papers undergo a peer-review process. The process will be equivalent to that used by other national and international journals in the drinking water field and will provide the additional rigor and credibility required for publication credit by many academic and research institutions. It will also provide an opportunity for constructive input and commentary for any other authors desiring it for their papers. Papers accepted through this peer-review process will be credited on their title page in the *Journal*. We are pleased to offer this additional service, because we believe that it will encourage and enable the historically fine research being conducted in the New England region to be published more frequently in a venue that will assure the maximum visibility to the regional drinking water community. Reviewers for this process will be drawn from national and international experts to assure the best input and credibility to the authors.

Papers for which authors do not desire the peer-review option, and papers that are not recommended for peer-review certification, will still be published in *Journal NEWWA* as before. Therefore, we hope that this process will stimulate the submission of more papers and the additional sharing of information that will be of value to all.

Special Peer-Review Editorial Procedures

Authors desiring manuscript evaluation under the peer-review system should send the manuscript directly to the Assistant Editor (address below). In the cover letter the author(s) should indicate if they wish the paper to be reviewed preserving anonymity. In that case, the authorship information should be included in the submission cover letter, and obvious revealing acknowledgments should be removed until acceptance.

Reviews will be obtained from a minimum of 3 national or international expert reviewers from disciplines relevant to the content of the manuscript. In case of widely divergent or conflicting reviews, the Assistant Editor shall add supplemental reviewers as needed to resolve the conflicts and provide a consensus to the author(s). The *Journal NEWWA* will strive to return results of the peer-review to the senior author within 60 days of paper receipt by the Assistant Editor. The recommendation can be: acceptance as-is; acceptance with minor revision needed; tentative acceptance with major revision needed (may require re-review); rejection with major revision and resubmission encouraged; and rejection as a peer-reviewed paper. The author(s) will have the option of making modifications consistent with recommendations and evaluations of the reviewers and being published with the designation of passing the peer-review process. However, *should the author(s) choose not to make sufficient modifications to pass the peer-review process for any reasons, they may inform the Assistant Editor that they wish the paper to be published as-is, without the peer-review qualification.*

Following acceptance of the manuscript, the final document should be prepared and submitted in accordance with the requirements given in "Guidelines for the Preparation of Papers for Publication in the *Journal of the New England Water Works Association*."

Special Guidance for Submittal of Papers for the Peer-Review Option

The paper should be submitted electronically to James Malley, Assistant Editor, *Journal NEWWA* at jim.malley@unh.edu.

Appendix G-6

New England Water Works Association Inc.



NEWWA
New England
Water Works
ASSOCIATION



#1671

Education Program Policy Manual
for compliance with
ANSI/IACET Standard for Continuing Education and Training

March 2024

Approved by NEWWA Board of Directors
April 2, 2024

Overview

The New England Water Works Association Inc. (NEWWA) Education Program Policy Manual represents the master policy document developed to ensure the NEWWA Training Unit's compliance with the ANSI/IACET Standard for Continuing Education and Training. It is developed and based on the 10 categories of the IACET Standard.

Category 1: Continuing Education and Training Organization

NEWWA Policy 1.1: NEWWA Training Unit Documented as NEWWA CE/T Responsible Group

The principal objective of the NEWWA Training Unit is to meet the current training needs of the membership and the waterworks profession at large. The NEWWA Training Unit has responsibility for and control of the continuing education and training function and the authority to administer all aspects of that function in full compliance with the ANSI/IACET Standard for Continuing Education and Training.

Category 2: Responsibility and Control

NEWWA Policy 2.1 Responsibility for Compliance with the ANSI/IACET Standard

The Deputy Executive Director is responsible for implementing and supervising this review assisted by the designated staff members of the NEWWA Training Unit.

The Deputy Executive Director is responsible for compliance with the current ANSI/IACET Standard for Continuing Education and Training.

The Deputy Executive Director is the designated contact with IACET (IACET Responsible Party) and has been since NEWWA became an Authorized CEU Sponsor on June 13, 1997.

As the designated party with the authority and responsibility for administering the NEWWA Education and Training Program, assuring compliance with the current ANSI/IACET Standard, and managing the NEWWA training unit staff, all information (including any changes) related to the ANSI/IACET Standard will be communicated with NEWWA training unit staff and other NEWWA staff (when appropriate) in accordance with the *NEWWA Education Program Policy Manual for compliance with current ANSI/IACET Standard for Continuing Education and Training* and utilizing the *NEWWA Internal Review Checklist* where appropriate.

Purpose

The NEWWA Training Unit conducts an ongoing internal review of its Education and Training Program policies, procedures, forms, and checklists used in designing, developing, and delivering learning events. The purpose of this comprehensive ongoing review is to assure compliance with the current ANSI/IACET Standard for Continuing Education and Training.

Procedures

- The Deputy Executive Director and all NEWWA Training Staff are requested to complete an IACET Authorized Provider Workshop covering the current Standard for Continuing Education and Training during the Association's current authorization period (once every five years). More frequent attendance may be required given the level of any potential modification(s) to the standard. The Deputy Executive Director will make this determination as IACET responsible party charged with monitoring all ANSI/IACET Standard information and all IACET communication on an ongoing basis.
- Each member of the NEWWA Training Unit is provided with copies of the current ANSI/IACET Standard for Continuing Education and Training and the *NEWWA Education Program Policy Manual for Compliance with the current ANSI/IACET Standard for Continuing Education and Training*.
- All NEWWA Training Unit staff are required to complete formal training program on the current ANSI/IACET Standard for Continuing Education and Training, the *NEWWA Education Program Policy Manual* upon any substantial change to the ANSI/IACET Standard.
- NEWWA training unit staff assigned as adjunct faculty supervisors are responsible for assuring ongoing compliance with the standard in any learning event developed in collaboration with these subject matter experts.

- NEWWA training unit staff assigned as liaisons to association subject matter expert committees are responsible for assuring ongoing compliance with the standard in any learning event developed by the given committee.
- Any interim changes to the *NEWWA Education Program Policy Manual* and *NEWWA Internal Review Checklist* will be communicated at NEWWA General Staff Meetings.
- The NEWWA Training Unit meets regularly to review all learning events. The review process includes both those learning events planned (or in development), and those completed. Completed learning events are thoroughly reviewed (utilizing NEWWA Internal Review Checklist and the NEWWA Policy Manual as benchmarks). Learner evaluations and assessments of learning outcomes are analyzed and reviewed in depth. Learning activities are modified accordingly utilizing these same benchmarks. Planned events are monitored, again using these same benchmarks, throughout the development process to assure that all categories and elements of the ANSI/IACET Standard are met.

NEWWA Policy 2.2: Calculating Continuing Education Units

Purpose

The purpose of NEWWA Policy 2.3 is to plan, execute, and document the calculation of Continuing Education Units (CEUs). CEUs are calculated using a standard documented process comprised of specific, stepwise procedures. CEUs will be awarded to each learner who successfully completes all requirements for a designated learning event.

Responsibilities

The Deputy Executive Director is responsible for training all designated NEWWA training unit staff in the process for calculating the CEU and in the proper utilization of the formula to conduct correct calculations. When assigned as adjunct faculty supervisors or as liaisons to association subject matter expert committees NEWWA Training Unit staff are responsible for assuring implementation of this policy and ongoing compliance with this standard element in any learning event developed in collaboration with these subject matter experts.

Procedures

All members of the NEWWA Training Unit are trained in the process of calculating education program CEU's and in the proper utilization/application of the formula to conduct correct calculations. Members of the NEWWA Training Unit are the only NEWWA staff authorized to calculate continuing education units. Their training includes what is acceptable for CEU credit and how to make appropriate adjustments if changes in instructional contact time or instructional mode occur.

Authorized NEWWA training unit staff understand that contact time can include, but is not limited to, classroom time, self-paced instruction and activities, homework, any pre and/or post assignments, and distance learning events. NEWWA does not currently offer self-paced learning programs and elects not to include homework or pre and/or post assignments as contact time.

Computation of CEUs*:

- 1) 1 CEU = 10 hours of learner contact with the content of the learning activity (includes classroom, self-paced instruction, pre/post assignments, and/or homework in support of a learning outcome).

2) The formula for classroom and distance learning events is computed by summing all of the minutes for all activities in a learning event, subtracting time spent on non-allowable activities, dividing by 60 minutes, and dividing again by 10 hours, with the fraction for the last few minutes rounded off to the nearest tenth. If the resulting computation ends in less than .5, round down to 0. If the resulting computation ends in .5 or higher, round up to the nearest whole number.

Category 3: The Learning Environment and Support Systems

NEWWA Policy 3.1: Providing an Adequate Learning Environment and Support Systems

NEWWA, in fulfillment of its educational mission, will develop both a detailed Annual Plan and a Long-Range Plan resulting from the formal Association Annual Planning Process. This process was developed to ensure both short- and long-range viability of the Association and its Education and Training Program and compliance with the ANSI/IACET Standard. The Annual Plan and Long Range Plans document planning process outcomes. In support of these plans, the Association's Annual Budget is developed by a formal Budget Committee with direct oversight by the Association's Executive Committee and Board of Directors.

Purpose

The Association's Annual Budget dedicates and stipulates the full financial resources required to ensure that the NEWWA Education and Training Program has adequate human, fiscal, and technological resources to support the high quality of each and every learning event developed and presented by the Association.

Responsibilities

The Deputy Executive Director works directly with the Chief Executive Officer (CEO) in the development of the Association's annual education and training budget.

The CEO is an ex-officio member of the NEWWA Budget Committee and serves on the NEWWA Executive Committee and NEWWA Board of Directors and function as the senior staff members charged with budget development responsibility subject to the oversight of these three bodies.

Process/Procedures

The majority of learning events in the NEWWA Training and Education Program are "fee for service" whereby; learner registration fees defray costs for instruction, instructional materials, facilities and equipment, overhead, etc. Certain learning programs may receive funding support from outside grant programs.

Budget:

The NEWWA Annual Training Budget incorporates/dedicates core line items to ensure adequate human, fiscal, and technological resources in support of the NEWWA Education and Training Program including but not limited to the following:

- staff salaries (professional/administrative)
- adjunct faculty honoraria
- text and materials (participants)
- media and publications acquisition (reference library/instructor support)
- webcast, teleconference, IT fees
- professional development/license/membership fees
- travel costs
- facilities costs (operating/capital improvement)
- equipment and software acquisition/maintenance (including all required computers/IT and AV)
- printing/postage/ office supplies/certificates and certification fees
- catering

Personnel:

NEWWA Training Unit staffing reflects the Association's direct commitment to the professional and administrative support required to support the high quality each learning event developed and presented by the Association.

The following full-time positions are dedicated to the NEWWA Training and Education Program:

- Director of Education and Training
- Instructor/Education Coordinator
- Backflow and Cross Connection Control Program Coordinator, Instructor
- Registrar
- Materials Preparation Assistant

NEWWA also employs the following staff in full time positions:

- Chief Executive Officer
- Events and Marketing Manager
- Facility and Office Manager
- Accounting Manager
 - Accounting Clerk
 - Membership and Volunteer Coordinator

Though these positions are not fully dedicated to the NEWWA Education and Training Program, each provides extensive administrative support to the program and individual NEWWA learners.

- All NEWWA Training Unit personnel (Staff and adjunct faculty) are selected and evaluated via annual performance reviews utilizing criteria outlined in their position descriptions.
- All NEWWA Training Unit personnel participate in documented, ongoing activities to improve participant materials, presentation skills, and participant learning based on learning event feedback.
- All NEWWA Training Unit personnel follow the ANSI/IACET Standard (and its substituent categories and elements) and all established policies and procedures for compliance including: proper calculation of CEUs; comportment in a professional manner devoid of discrimination or harassment; having no proprietary interest or appropriately disclosing proprietary interest in the subject matter being presented and receiving no compensation outside of their salary or honorarium.

Learning Environment and Support Systems:

NEWWA is dedicated to quality education, pre-training support, and post training support for all learners in each learning event.

NEWWA budgets for and allocates resources to support quality education programs and allocates dedicated resources to provide learning environment and support systems by providing:

- the appropriate physical environment/setting for learning in classroom facilities at the NEWWA Training Center in Holliston, MA and at NEWWA Drinking Water Centers around the New England Region
- detailed information on and ongoing access to learner support systems from pre-registration advisement through post learning event completion and follow-up
- qualified staff education administration professionals
- qualified staff and adjunct faculty instructional professionals
- comprehensive learning materials

NEWWA Policy 3.2: System for Ensuring That Reference Material is Up-to-date, Education Materials are Accurate and Current, Media Resources Are Maintained, and Technological Support are in Good Working Order for Compliance with ANSI/IACET Standard for Continuing Education and Training

Purpose

The NEWWA Training Unit conducts an ongoing review of all learners instructional materials to ensure they are accurate and current in all aspects. This review targets both learner materials developed in support of *established* learning events (with “course masters” already on file) and learner materials developed in support of *new* learning events. This review incorporates the following schedule:

- *Established* learning event materials: review of “course master” (including any accompanying texts/manuals/publications) conducted two weeks prior to the scheduled date of delivery of the learning event.
- *New* learning event materials: review of final draft “course master” (including any accompanying texts/manuals/publications) conducted two weeks prior to the scheduled date of delivery of the learning event.
- *All* learning event “course masters” (including any accompanying texts/manuals/publications) on file: review conducted annually.

Responsibilities

The NEWWA training unit staff is responsible for the implementation of NEWWA Policy 3.2.

Process/Procedures

The NEWWA Training Unit conducts an ongoing review of all learner instructional materials.

Established Learning Events

- The NEWWA training unit staff Instructor/Coordinator reviews the “course master” using the Course Master Review Checklist to determine currency, accuracy, and completeness. This review includes (but is not limited to):
 1. PowerPoint slides/note taking handouts
 2. worksheets/forms/reference handouts
 3. accompanying publications (text, manuals, standards)*
 4. learner assessment(s) of learning outcomes
 5. learning event (participant) evaluation forms

New Learning Events

- The NEWWA training unit staff Instructor/Coordinator assigned to the designated learning event completes development and assembly of the final draft* “course master” * and the Course Master Review Checklist.
- The “course master” moves to *Established Learning Event* status and must be reviewed prior to subsequent offering of the learning event.

NEWWA Policy 3.3: Commitment to High Quality Training Facilities in Support of the NEWWA Education and Training Program

Purpose

NEWWA has a demonstrated ongoing commitment to high quality training facilities in support of the NEWWA Education and Training Program.

Since 2000, NEWWA has owned and operated a two-story, 16,000 square foot facility in Holliston, MA. The Training Center is fully ADA compliant consists of three conventional classrooms (24, 36, 44 seat), a 20-seat management training/conference room, a fully equipped hands-on instructional laboratory (Water Quality Training Laboratory), a dedicated reference library (with approximately 5,000 LC cataloged titles, and three meeting/conference rooms. The facility also incorporates dedicated areas for instructional materials preparation and storage, fully supported by state-of-the-art printing, duplicating, and copying equipment.

In 2004-2005, an 1,800 square foot, two-story, hands-on instructional laboratory addition (Water Distribution Operations Training Laboratory) was constructed to the building to meet specific learning/learner needs. The new addition was configured on two floors to include a basement equipment storage area in support of hands-on instruction.

Responsibilities

NEWWA delivers classroom based and remote online, live instructor led training at the NEWWA Training Center in Holliston, MA and at designated/approved Drinking Water Centers and host utility satellite locations.

The NEWWA Budget Process and Annual Budget allocates full funding of operational, maintenance, and capital ("sinking fund") improvement costs of the NEWWA Training Center and all related training infrastructure. The NEWWA Annual Budget also allocates full funding for the operational costs of conducting training at the Drinking Water Centers and at approved host utilities.

The NEWWA training unit staff monitors and supervises the quality of the physical environment at the NEWWA Training Center and at Drinking Water Centers and host utilities on an ongoing basis through specific learning program assignments at each location. Formal learning environment review is the responsibility of the individual NEWWA Instructor/Coordinator as part of the assigned learning program's overall supervision.

Process/Procedures

- Prior to the establishment of a formal satellite training location (Drinking Water Center/host utility) the designated NEWWA Instructor/Coordinator conducts a comprehensive review of the given facility's learning environment and support systems. Upon completion of this review/checklist, the assigned NEWWA Instructor Coordinator has the authority to approve or deny the facility.
- Once a satellite training facility has been established or when an assigned learning event is conducted at the NEWWA Training Center, the designated NEWWA Instructor/Coordinator reviews the given facility's learning environment and support systems
- The Learner Evaluation Form is completed by all learners at the end of each learning event. The form contains a section specific to the learning environment. The compilation, review, and analysis of this learning environment evaluation data provides a "tie back" for a

continuous improvement model with regard to each and every NEWWA learning environment. It also provides a check in the system for learner feedback with regard to maintenance, improvements, etc.

NEWWA Policy 3.3: Support Services Availability

Purpose

Learners require full and ready access to support services to assure a quality learning experience. In support of this policy, all NEWWA training unit staff and adjunct faculty are fully informed and have a sound understanding of the systematic process for learning event development and delivery stipulated in the ANSI/IACET Standard. All NEWWA Staff are knowledgeable (via ongoing NEWWA In-Service Staff Trainings) about available learner support services and are proficient in conveying the nature of these resources and how they can be accessed whether contact with learners is via phone, email, or in person.

Responsibilities

The NEWWA Registrar (in conjunction with the NEWWA Website) serves as a key point of contact for a range of direct learner support information and services including:

- the registration process, course schedules/content/directions, instructor assignments, certification and examination requirements, registration confirmations, AMS/LMS access, etc.
- triage of technical information to direct learners to the appropriate training unit staff member for technical (subject matter) assistance or to provide appropriate referral resource(s)/contact(s) at designated agencies.

The NEWWA training unit staff serve as direct technical resource contacts for all learners in designated content/subject matter areas. Phone and email inquiries received from learners are directed to NEWWA training unit staff accordingly.

Each adjunct faculty member or Volunteer Instructor is assigned to a NEWWA training unit staff member. Learner support and other information is reviewed with NEWWA adjunct faculty and Volunteer Instructors during orientation as a new instructor and throughout the individual's instructional career with NEWWA via a mentoring relationship with designated NEWWA training unit staff.

Process/Procedures

NEWWA maintains a website (<http://www.newwa.org>) with information on the NEWWA Training and Education Program, NEWWA staff and staff contact information (including members of the NEWWA Training Unit and their program area responsibility) and other information specifically designed to assist learners and direct them to a wide range of resources and assistance.

Learner instructional materials (for each learning event) are compiled to encompass the most current information, as well as to provide (when appropriate) historical perspective and current resources/references and contact information. Learners participating in learning events at the NEWWA Training Center and at satellite locations are made aware of all available learning support

resources (NEWWA/AWWA/AWWARF) and are encouraged to utilize them. NEWWA Training Unit contact information (phone, e-mail, fax) is provided to all learners attending each learning event. All NEWWA Instructor/Coordinators convey to learners that they are willing and available for any assistance requested. adjunct faculty members provide the same information and often elect to provide personal contact numbers for learners in addition to NEWWA training unit staff.

NEWWA has developed the following written procedure regarding instructors providing support and assistance to learners:

***Procedure for NEWWA training unit staff, Adjunct and Volunteer Instructors
Regarding Providing Assistance and Support to Learners***

NEWWA training unit staff will be available and provide reasonable access to learners (by phone, fax, e-mail) for any questions or advisement during Association office hours (8:30 AM-5:00 PM, Monday through Friday), or when present at scheduled evening or weekend learning events. When learning events are conducted at the NEWWA Training Center, this access will include informal and formal (personal, office based) consultation/advisement with learners. In satellite learning settings, appropriate areas for consultation/advisement should be sought out for these same purposes. Formal appointments with learners may also be scheduled and are encouraged. Contact information should be supplied to all learners.

NEWWA requests that all instructors provide/acquaint learners, at the beginning of each learning event, with contact numbers for NEWWA training unit staff. adjunct faculty and Volunteer Instructors may choose to provide additional personal contact information to learners, but this is not required. NEWWA further requests that all instructors provide reasonable access for assistance (questions/advisement) to learners before and after learning events and, when appropriate, during non-instructional segments of learning events (breaks/lunches), and that they inform learners of technical and all other learning reference capabilities of NEWWA.

NEWWA Instructor/Coordinators complete an Event Set-Up Form for each learning event. If specific requirements for advance notification (technology, equipment, pre-requisites, specialized target audience, etc.) are required, the Instructor/Coordinator notes it on the form and attaches a detailed description or specific, required course announcement language. The Instructor Coordinator files hard copies of the Event Set-Up Form with both the NEWWA Office Manager for inclusion in course announcements and the NEWWA Registrar for confirmation and inclusion on the NEWWA Website.

The NEWWA Registrar incorporates the appropriate information into:

- course announcements
- confirmation letters
- confirmation emails

Category 4: Learning Event Planning

NEWWA Policy 4.1: Policy for Identifying, Reviewing, and Updating Learning Needs for Compliance with ANSI/IACET Standard for Continuing Education and Training

Purpose

The NEWWA Education and Training Program strives to meet the current training needs of the membership and the waterworks profession at large.

To keep pace with a diverse, rapidly changing and increasingly complex profession, training needs are regularly assessed by the NEWWA Training Unit using a range of assessment instruments and methodologies.

NEWWA needs assessment processes and procedures address content relevance as well as identify any constraints to meeting identified learning needs in order for NEWWA to develop and deliver timely, targeted, high quality training. This requires accurate identification of needs in the development of new learning events and effective ongoing review and update of needs in established learning events.

Responsibilities

Each member of the NEWWA Training Unit involved in the development of any NEWWA learning event is required to follow a clear, written, stepwise, developmental sequence. This sequence is *grounded in needs assessment*. Defined needs must then be linked to performance based objectives as they are developed. Performance based objectives must then be further linked to specifically defined (written), measurable learning outcomes. Learning event delivery must be measured for effectiveness both by assessments of the learner (to determine achievement of learning outcomes) and learner feedback (participant evaluation) on the learning event.

Each NEWWA learning event must be planned by the designated training unit staff professional. If development involves subject matter expertise which requires input from adjunct faculty or volunteer committees, all subject matter experts must work under the direct supervision of the designated training unit staff professional to assure full compliance with the defined developmental sequence as specified by the ANSI/IACET Standard.

Process/Procedures

NEWWA has an extensive volunteer governance structure comprised of ten Councils, with various substituent (technical/administrative) Committees. Each Association Committee has a Chair, Vice Chair and Secretary, as well as an NEWWA training unit staff member assigned as a direct liaison. Both volunteers (via the relationships represented in the Council portion of the NEWWA Organizational Chart) and staff (via the relationships indicated in the staff portion of the NEWWA Organizational Chart) report through the Deputy Executive Director and CEO to the Association's Board of Directors. Each Association Technical Committee meets regularly and has a clearly defined written scope and objectives. The Education Committee addresses the overall direction and long-range educational goals and objectives. It also serves as the direct link to all Association Technical Committees regarding training and education. Needs identified through Education committee "global" assessments (developed with NEWWA training unit staff oversight), are first reviewed and evaluated by the Education Committee (and NEWWA training unit staff) and, if

appropriate, are referred to a specific Association Technical Committee (e.g. Water Resources, Disinfection, Laboratory Operations) for further, more detailed needs assessment.

Whether as a direct referral from the Education Committee (via staff), or by coordination with the Education Committee when seeking specific information (again via staff), individual Association Technical Committees (with staff involvement and oversight) conduct targeted needs assessment in their areas of expertise. This data is compiled and summarized by staff, and provides in-depth, factual information for Learning Event/program planning and development by each committee. Individual, specific committees possess extensive technical acumen/subject matter expertise in their defined area. Each can then work effectively with NEWWA training unit staff (and the assessment information in hand) to initiate development of the specific learning event. Areas of interest detailed on existing course evaluation forms or communicated verbally (in person or by telephone), or in writing via email or mail are referred (via staff) to the Education Committee (and/or appropriate technical committee), assessed, and if appropriate, directed to the specific technical committee (and/or Education Committee) for further action including formal needs assessment.

Because NEWWA assessment methodologies are utilized effectively to identify target needs and audiences rather than interests, performance-based objectives are then identified to “drive” program planning, convey learning expectations, select instructional content (as well as methodologies and aids) and ultimately determine what learners must demonstrate (satisfactorily) for effective learning to occur.

Interim evaluative techniques (such as focus/task groups, often formed with representation from several Association committees and/or other organizations/agencies, or self-assessments) serve to “select out” interests and crystallize needs. Frequently, information can be effectively referred to the Association’s Program Committee for utilization in venues (e.g. meeting and conference programs) not structured to grant IACET CEU credit, or to the Association’s Board of Directors where clarification of existing information/policy or formulation of new policy might constitute a more appropriate response.

NEWWA learning events are evaluated and revised on a real time basis as changes in regulatory requirements, technologies, or material/equipment arise. A formal review process is conducted to assure ANSI/IACET Standard compliance inclusive of needs analysis.

Feedback sources utilized (for real time review) to assure that learning events remain current and relevant include regulatory updates, information provided in participant evaluation forms at the end of learning events, email/mail requests, in-person and telephone requests, and feedback/data from various survey instruments (e.g. survey forms/tools, committee/focus group meetings reports).

NEWWA Policy 4.2: Written Documentation Showing the Relationship between Needs Analysis and Planned Learning Outcomes

Purpose

The NEWWA Education and Training Program strives to meet the current training needs of the membership and the waterworks profession at large.

NEWWA needs assessment processes and procedures addressing content currency and relevance as well as identify any constraints to meeting identified learning needs in order for NEWWA to develop and deliver timely, targeted, high quality training. This requires accurate identification of

needs in the development of new learning events and effective ongoing review and update of needs in established learning events. It also requires effective needs assessment processes and procedures to be directly linked to learning event outcomes/objectives. Once identified, learning needs drive and shape the development of NEWWA learning event outcomes and objectives through identified relational processes and procedures.

Responsibilities

Each member of the NEWWA Training Unit involved in the development of any NEWWA learning event is required to follow a clear, written, stepwise, developmental sequence. This sequence is grounded in needs assessment. Defined needs must then be linked to performance-based objectives as they are developed. Performance based objectives must then be further linked to specifically defined (written), measurable learning outcomes. Learning event delivery must be measured for effectiveness both by assessments of the learner (to determine achievement of learning outcomes) and learner feedback (participant evaluation) on the learning event.

Process/Procedures

Each and every learning event in the NEWWA Training and Education Program delineates clear, written statements of intended learning outcomes. Because NEWWA needs assessment methodologies are effectively utilized to identify target needs and audiences, identified needs can then be linked to performance-based objectives as they are developed. Performance based objectives can then be formally linked to specifically defined, measurable (written) learning outcomes. These outcomes then become “drivers” for learning event planning and development, shaping effective instructional design which incorporates learning outcomes at the design core. These “drivers” further help select and shape instructional content (as well as methodologies and aids) and ultimately “fine tune” what learners must demonstrate for effective learning to have occurred. Since NEWWA training unit staff are actively involved in all phases of the developmental process for each learning event, instructional methodologies (mindful of content organization for the appropriate audience) are closely monitored to achieve intended learning outcomes.

Each NEWWA learning event must be planned by the designated training unit staff* professional. If development involves subject matter expertise which requires input from adjunct faculty or volunteer committees, all subject matter experts must work under the direct supervision of the designated training unit staff professional to assure full compliance with the defined developmental sequence as specified by the ANSI/IACET Standard.

NEWWA training unit staff utilize an Instructional Design Matrix as a tool to verify and document required linkage and the direct relationship between identified needs and learning outcomes.

Responsibilities

Each member of the NEWWA Training Unit involved in the development of any NEWWA learning event is required to follow a clear, written, stepwise, developmental sequence.

Process/Procedures

Each learning event in the NEWWA Training and Education Program delineates clear, written statements of intended learning outcomes. Because NEWWA needs assessment methodologies are effectively utilized to identify target needs and audiences, identified needs can then be linked to performance-based objectives as they are developed. Performance based objectives can then be formally linked to specifically defined, measurable (written) learning outcomes. These outcomes then become “drivers” for learning event planning and development, shaping effective instructional design which incorporates learning outcomes at the design core

Each NEWWA learning event must be planned by the designated training unit staff* professional. If development involves subject matter expertise which requires input from adjunct faculty* or volunteer committees, all subject matter experts must work under the direct supervision of the designated training unit staff professional to assure full compliance with the defined developmental sequence as specified by the ANSI/IACET Standard.

NEWWA training unit staff utilize an Instructional Design Matrix as a tool to verify and document required linkage and the direct relationship between identified needs and learning outcomes.

NEWWA Policy 4.3: Identification of Constraints and Learner Communication Prior to Learning Event

Under the supervision of the Director of Education and Training, the NEWWA training unit staff follow a contingency plan which identifies and outlines the process to address key constraints that may affect the planning and execution of each NEWWA learning event and to evaluate whether specific information should be made available to learners in advance of the learning event in addition to event descriptions, event logistics, learning outcomes, how learners will be assessed and any additional information needed e.g. program content; prerequisites; learning methodology, CEUs to be awarded; technical equipment and related skills requirements; support services; and cost and payment policies. This plan also provides adequate capability to respond to unanticipated constraints that may arise.

Purpose

NEWWA recognizes that constraints may, at times, prohibit meeting the needs of learners. For NEWWA to develop and deliver timely, targeted, high quality training, key constraints to learning must be identified, and a contingency plan must be developed and implemented to mitigate these constraints and to notify learners if appropriate.

Responsibilities

Under the supervision of the Director of Education and Training, NEWWA training unit staff follow a contingency plan which identifies and outlines the process to address key constraints that may affect the planning and execution of each NEWWA learning event. This plan also provides adequate capability to respond to unanticipated constraints that may arise.

Process/Procedures

Key Identified Constraints and Procedures

Facilities

The NEWWA Training Center is fully ADA compliant. All NEWWA promotional literature indicates, on the learning event registration form, a box which, can be checked to provide advance notification of any special assistance a learner will require related to ADA. This same section informs the learner that they will be contacted directly by NEWWA to discuss the specifics of that assistance. The NEWWA Registrar receives and logs this information and follows up with a phone call/email to the learner. Specific information obtained from the learner regarding any constraints is also logged and communicated directly via email to the appropriate Instructor/Coordinator with follow-up review and discussion between the NEWWA Registrar and Instructor/Coordinator. If sufficient time is available prior to the learning event, the information is included for further review and discussion at the next scheduled NEWWA Staff Meeting.

Learning Event Scheduling

NEWWA training unit staff are required to schedule learning events in quarterly or six month calendar blocks allowing an additional advance quarter (prior to the earliest scheduled event in that quarter) in order to provide adequate notification to learners (via mail, web, and email learning event announcements) of learning event scheduling, availability, and geographic access. Multiple offerings of learning events are factored into all scheduling and learning event announcements and provide full information on adequate learner access inclusive of such constraints as specialized content/learning outcomes, pre-requisites, and any enrollment limitations. Additional information may be provided on such specialized constraints as state examination schedules, cancellation due to insufficient enrollment/weather emergency, and other specialized unforeseen constraints that may require stipulation to best support and assist learners.

Instructor Scheduling/Availability

NEWWA training unit staff are required to schedule their own instructional time, adjunct faculty time, and committee (volunteer) instructors mindful, whenever possible, of access to back-up instructors and contingency planning for rescheduling in the event of unavoidable learning event cancellation. NEWWA training unit staff are required to mentor back-up committee (volunteer) instructors for all committee-based learning events they are assigned to supervise.

Learning Event Pre-Requisites

NEWWA training unit staff are required to screen learners during the registration process to confirm completion of any pre-requisites. NEWWA course announcements and registration forms clearly state prerequisites and point learners to support systems (phone contact with the NEWWA Registrar and/or Instructor/Coordinators) if they require assistance or additional information. Registration forms require learners to verify (check off) pre-requisite completion. Upon receipt of registrations, the NEWWA Registrar verifies completion via the secure student record database. If the learner does not complete the form or has not completed the published/stated pre-requisite, the NEWWA Registrar contacts the learner by phone to inform them of ineligibility for the learning event and instructs them on the process to complete the designated pre-requisite and when both the pre-requisite and "next level" learning events are scheduled. The NEWWA Registrar further confirms pre-requisite completion with the learner in confirmation letters or emails. As a final check in the system, NEWWA training unit staff are required to review pre-requisite completion requirements as part of the review/discussion of learning outcomes prior to the start of the learning event.

Participant Instructional Materials

NEWWA training unit staff are required to prepare sufficient and complete instructional materials, including any publications accompanying publications (e.g. texts, manuals, guides, standards, etc.) in advance of each learning event so that each learner is assured access to these materials at the time they check in with the assigned NEWWA on site representative just prior to the learning event. The NEWWA Registrar and NEWWA Office Manager coordinate learning event enrollments on an ongoing basis. The NEWWA Office Manager is required to prepare participant materials under the following guidelines:

Participant instructional materials must be prepared 48 hours prior to the learning event. Because participant registrations are monitored, sufficient materials are prepared at either the course maximum enrollment number (as specified on the Learning Event Set-Up Form filed with the NEWWA Registrar and NEWWA Office Manager by the assigned Instructor/Coordinator at the time of learning event scheduling) or with three additional sets in excess of the enrollment number 48 hours prior. Any changes requiring additional participant instructional materials within 48 hours of the learning event are handled via direct and immediate communication between the NEWWA Registrar and NEWWA Office Manager and additional materials are made ready accordingly.

Funding

NEWWA course announcements and registration forms clearly state registration fees (for members and non-members), indicate acceptable payment methods (purchase order, check, credit card) and registration cancellation policy and any fees associated with cancellation. These same materials also indicate any funding subsidies, the source (e.g. U.S. EPA, Maine Drinking Water Program) and how funding has been applied to reduce registration fees, or provide specialized instructional materials (e.g. texts, manuals, guides, standards, etc.).

Cancellations Due to Weather, Instructor Illness, or Unforeseen Emergency

NEWWA training unit staff are required to address any learning event cancellation due to weather, instructor illness, or any unforeseen emergency as soon as the need for cancellation is determined in the following manner:

The NEWWA Registrar accesses contact information in the secure records database and/or on the learning event registration form. The NEWWA Registrar then places a phone call and sends an email to each learner inclusive of information on rescheduling if available at the time of learning event cancellation. Follow-up phone calling continues until contact with the learner is confirmed via phone conversation or confirming return email. If rescheduling information is not available at the time of contact with the learner, the learner is notified that they will again be contacted by phone and email as soon as the learning event is rescheduled, or the learner is made aware of the availability of the next proximate scheduled offering of the learning event. In the event that rescheduling options are not convenient for the learner, a full refund of registration fees is extended to the learner. In the case of cancellation of one or more sessions of a multi-session learning event, the NEWWA Registrar (working directly with the assigned NEWWA Instructor Coordinator) will follow the same procedure to reschedule learners into a specially scheduled make-up session(s), or to reschedule the learner into the specific session(s) of other scheduled offerings of the learning event.

Equipment

NEWWA training unit staff are required to plan for and allocate all necessary learner instructional equipment during the learning event planning and scheduling process. Facility, AV, and all related learning infrastructure equipment is constraint-contingency planned in advance of any learning event scheduling. Additional focus/planning is required for specialized learning events which have been identified as equipment intensive.

Category 5: Learning Outcomes

NEWWA Policy 5.1 Learning Outcomes

Purpose

NEWWA ensures the achievement of learning outcomes for all learning events by developing learning event objectives and by providing instruction, both classroom and hands-on laboratory based, which support learning of the objectives as specified. NEWWA further ensures the achievement of learning outcomes by determining the correct assessment method to measure learner skill mastery and by assessing learners.

Responsibilities

Each member of the NEWWA Training Unit involved in the development of any NEWWA learning event is required to follow a clear, written, stepwise, developmental sequence. This sequence is grounded in needs assessment. Defined needs must then be linked to performance based objectives as they are developed. Performance based objectives must then be further linked to specifically defined (written), measurable learning outcomes. Learners must be provided feedback on their mastery of learning outcomes throughout the conduct of the learning event. Learning event delivery must be measured for effectiveness both by assessments of the learner (to determine achievement of learning outcomes) and learner feedback (participant evaluation) on the learning event.

Process/Procedures

NEWWA training unit staff develop clear, concise and measurable learning event objectives using Bloom's educational objectives (Bloom's Taxonomy of measurable verbs) as guidance:

NEWWA training unit staff, adjunct faculty, and designated committee instructors provide instruction to meet learning event objectives and administer assessments to measure learner mastery of learning event information.

NEWWA training unit staff review learner assessment performance to ensure that learning expectations are met.

NEWWA training unit staff review and discuss assessment performance with adjunct faculty and designated committee instructors when assessment performance does not meet expectations.

Category 6: Planning and Instructional Personnel

NEWWA Policy 6.1

NEWWA will employ a method to ensure that individuals involved in program planning and instruction are qualified in compliance with the ANSI/IACET Standard for Continuing Education and Training

All NEWWA training unit staff and adjunct faculty are evaluated at an annual performance review using criteria outlined in NEWWA training unit position descriptions. NEWWA training unit staff and adjunct faculty participate in activities to improve presentation skills, participant materials, and participant learning based on feedback from learning events. NEWWA training unit staff and adjunct faculty follow the ANSI/IACET Standard for Continuing Education and Training, and all documented processes and procedures established to ensure compliance. NEWWA training unit staff and adjunct faculty are professionals who do not discriminate or harass. NEWWA training unit staff and adjunct faculty have no outside interest in the materials being presented and are not compensated outside of their salary and related travel expenses. NEWWA training unit staff and adjunct faculty are evaluated annually.

Purpose

The NEWWA Training Unit and NEWWA adjunct faculty is staffed by highly qualified professionals who adhere to documented processes and procedures established to ensure the highest quality of each and every learning event developed and presented by the Association.

Responsibilities

All NEWWA training unit staff involved in the NEWWA Education and Training Program, whether functioning as administrators, planner/developers, or instructors are fully informed and have a sound understanding of the systematic process for learning event development and delivery in full compliance with the ANSI/IACET Standard through adherence to established NEWWA Policies and Procedures. These same decision-makers serve as an integral component of the development and delivery “team”, which links (and oversees) the technical (subject matter/content) expertise of the Association committee system, adjunct faculty, and all subject matter expert volunteer instructors. Emanating from NEWWA training unit staff decision-makers and their direct oversight, a thorough understanding of the systematic learning activity/learning outcome development process governed by full compliance with the ANSI/IACET Standard is assured. In many cases, NEWWA training unit staff decision-makers serve as instructors and subject matter experts. In every case, NEWWA training unit staff decision-makers serving as administrators or instructors provide program development expertise including oversight of learning event subject matter competency, competency in learning event planning and facilitation, and knowledge in instructional methods and learning processes.

Process/Procedures

General:

NEWWA Training Unit are seasoned adult instructional professionals, knowledgeable and extensively experienced as subject matter experts, learning event planner/developers, and in all specified ANSI/IACET Standard competencies.

The Deputy Executive Director directly screens, interviews, and selects training unit staff and adjunct faculty positions and leads a collaborative screening team comprised of the Chief Executive Officer and members of the NEWWA training unit staff. The Deputy Executive Director is also involved in the direct recruitment/screening/selection of specific individuals with extensive curriculum vitae as adjunct faculty. All adjunct faculty are experienced in instructional development and delivery and are recognized for their subject matter expertise. References of any potential adjunct faculty are carefully checked via direct ties to Association member utilities, organizations, agencies, or educational institutions. Each prospective adjunct faculty member is interviewed by the members of the NEWWA training unit staff in addition to the Director of Education and Training, and Executive Director to reach full consensus before selection. Instructors with limited adult learner instructional experience or limited, documented subject matter expertise are not considered for NEWWA adjunct faculty positions. Once selected, adjunct faculty participates in formal Train the Trainer instructional program which provides an orientation to the NEWWA Training and Education Program, and a detailed review of the ANSI/IACET Standard conducted by the Deputy Executive Director and NEWWA training unit staff. Adjunct faculty are assigned to one of these same individuals as a direct liaison throughout their involvement with the NEWWA Training and Education Program. Adjunct faculty are directly involved in the identification and development of learning outcomes as a member of the team formed with NEWWA training unit staff. Though each has extensive instructional experience with adult learners, this team approach, inclusive of a direct liaison function, provides the direct capability to monitor learning event subject matter competency, competency in learning event planning and facilitation, and knowledge in instructional methods and learning processes in full compliance with the ANSI/IACET Standard.

NEWWA volunteer instructors are screened and selected in a process like that detailed for adjunct faculty, with the important exception that the Association committee system assists in identifying, nurturing and mentoring outstanding instructors who are recognized subject matter experts in their field. The Deputy Executive Director and NEWWA training unit staff are directly involved in making this identification and facilitating this process. During this process, volunteer "instructors-in-training" participate in a specially modified Train-The-Trainer program and other instructional skill building activities. Volunteer instructors work with their respective committee members and the designated NEWWA training unit staff liaison for that committee to gain experience in learning event development and delivery grounded in ANSI/IACET Standard with a focus on needs assessment\identification, learning outcome development and assessment, and learning event evaluation. "Practice presentations" are conducted for committee and NEWWA training unit staff review and feedback. NEWWA training unit staff assigned to each committee as a direct liaison have direct input into the development of learning outcomes, instructional methods, and the use of instructional media. Because volunteer instructors present only specific, designated, defined segments of a learning event, mentoring and development can continue via instructors-in-training facilitating small group exercises and other defined learning event instructional segments. At each juncture, the NEWWA training unit staff liaison and committee colleagues provide continuous improvement feedback via observation and evaluation. As in the process with adjunct faculty, the direct liaison function provides the direct capability to monitor learning event subject matter competency, competency in learning event planning and facilitation, and knowledge in instructional methods and learning processes in full compliance with the ANSI/IACET Standard.

NEWWA training unit staff and adjunct faculty Evaluation Process

While on-going feedback is a key component of the performance management process, all NEWWA training unit staff and adjunct faculty are formally evaluated on an annual basis. The process includes feedback from the employee, learners, and the supervisor. Annual goals and objectives for the year are set by the supervisor and employee at the start of the performance evaluation cycle. Performance is measured against established objectives as well as how effectively goals were executed.

NEWWA Policy 6.2:

All individuals involved in developing and delivering learning events shall participate in professional development and training activities to maintain competency in subject matter material and learning methods.

NEWWA training unit staff and adjunct faculty follow the ANSI/IACET Standard for Continuing Education and Training and all documented processes and procedures established to ensure compliance. NEWWA training unit staff and adjunct faculty are professionals who do not discriminate or harass. NEWWA training unit staff and adjunct faculty have no outside interest in the materials being presented and are not compensated outside of their salary and related travel expenses. NEWWA training unit staff and adjunct faculty are evaluated annually using the NEWWA Personnel Evaluation Form and NEWWA Employee Evaluation Process.

NEWWA Policy 6.3

As per the Constitution and Bylaws of NEWWA Article 12 SECTION 12.1. Non-Discrimination states "Membership in NEWWA and admission to functions and courses sponsored by NEWWA shall not be denied to any person on the basis of race, color, gender identity, sexual orientation, religion, creed, national or ethnic origin, and any other protected class."

NEWWA's objective is to maintain a fair, equitable, positive work and learning environments for all NEWWA Staff, adjunct faculty, and learners.

NEWWA takes allegations of any kind of harassment seriously and will respond promptly to complaints. NEWWA will fulfill its obligation to maintain a positive and productive work and learning environment by requiring managers and supervisors (including training unit staff supervising adjunct faculty and Volunteer Instructors) to immediately halt any harassment which comes to their attention and report such violations to the Deputy Executive Director who will in turn report them to the NEWWA Staff Human Resources Officer. Where it is determined that such inappropriate conduct has occurred, NEWWA will act promptly to eliminate the conduct.

Anti-Discrimination Policy

It is the policy of NEWWA that each qualified individual, regardless of race, gender, age, color, national origin, religion, disability, marital status, sexual orientation, and veteran status, shall have equal opportunity in the employment, services, or educational programs of NEWWA. NEWWA prohibits all forms of retaliation for filing complaints for discrimination.

Anti-Harassment Policy

It is the policy of NEWWA that everyone should be able to participate in a work and learning environment that is free of disruptive elements, discrimination, and harassment. This policy refers to, but is not limited to, harassment in the following areas: race, sex, age, color, national origin, religion, disability, marital status, sexual orientation, and veteran status. Harassment includes display or circulation of electronic materials or pictures degrading to either gender or to racial, ethnic, or religious groups and verbal abuse or insults directed at, or made in the presence of a racial, ethnic, or minority group.

Sexual Harassment Policy

Sexual harassment occurring in the workplace, or in other settings in which employees may find themselves in connection with their employment, is unlawful and will not be tolerated by NEWWA. Retaliation against an individual who has complained about sexual harassment or who has cooperated with an investigation of a sexual harassment complaint is similarly unlawful and will not be tolerated.

Diversity Statement

NEWWA is committed to diversity in all areas of the Association's work. NEWWA holds itself accountable for promoting an environment which values the differences in cultures, experiences, and perspectives and incorporates them for the benefit of our staff, adjunct faculty, learners, and all association members. NEWWA will do its best to be effective by: promoting diversity; valuing and respecting the identities of staff, adjunct faculty, learners and all association members; providing clear information regarding job information, selection, and training and encouraging professional development to reach full individual potentials; striving to create a work team that is diverse as the people we serve; regularly reviewing all our programs to ensure they are aimed toward creating and maintaining diversity; making certain that staff, adjunct faculty, learners and all association members (including volunteers) know about the Association's commitment to diversity.

NEWWA Conflict of Interest Policy

This policy is designed to help directors, officers, members, and employees (responsible person) of the New England Water Works Association (NEWWA) identify situations that present potential conflicts of interest.

Directors shall inform the Board at the outset of a discussion regarding a transaction of potential conflicts of interest.

Conflicts of interest shall be announced at the annual NEWWA business meeting, held in September; but if a conflict arises later, it shall be announced at that time.

When appropriate, a director should excuse themselves from any discussion on the transaction and abstain from voting on the transaction.

When the transaction involves a Board member, any director can move that the transaction require a two-thirds vote of the disinterested directors.

The following are examples of circumstances that may result in a conflict of interest:

- A contract or transaction between NEWWA and a responsible person or family member.
- A contract or transaction between NEWWA and an entity in which a responsible person or family member has a material interest or of which such a person is owner, director, officer, agent, partner, trustee, employee, personal representative, guardian, custodian, or other legal representative.

A responsible person accepting gifts, entertainment, or other favors from any individual or entity that:

- Does or is seeking to do business with NEWWA.
- Is seeking to receive a loan, grant, or secure other financial commitments from NEWWA.

Procedure to Manage Conflicts of Interest

The Chief Executive Officer will monitor proposed or ongoing transactions for conflicts of interest and disclose them to the President, who in turn will bring them to the attention of the Executive Committee, to deal with potential or actual conflicts, whether discovered before or after the transaction has occurred.

Failure to report a conflict of interest is a violation of this policy. Once discovered, said violation will

be promptly, thoroughly, and objectively investigated, and, to the maximum extent possible; said investigation will be conducted so as to protect the confidentiality and privacy of the parties involved subject to the needs of the Chief Executive Officer and the President to investigate thoroughly.

If the Executive Committee determines that a conflict of interest has occurred, effective remedial action will be taken in accordance with the circumstances involved.

NEWWA Policy 6.4

Policy on Instructor Proprietary Interest

If any NEWWA instructor (NEWWA training unit staff, adjunct faculty, Volunteer Instructor) has a potential proprietary interest in any product, instrument, device, service, or material, that interest will be identified prior to the learning event and evaluated by the Director of Education and Training. If a determination is made that this interest cannot be appropriately represented as augmentative to learning event content without compromise to the integrity and quality of the learning event (and the Association's educational mission as a not-for-profit educational organization), participation will be prohibited. If the determination is made that this interest can be appropriately represented and its content information will enrich the learning event, then learners must be informed of the proprietary interest via an announcement prior to the commencement of the learning event. Whenever possible and appropriate, such approved proprietary affiliations (and their content enrichment purpose/intent) will be reflected in the written learning event program as well. Appeals to the propriety review process may be made to the NEWWA Chief Executive Officer

Policy for Participation by Manufacturer's Agents, Distributors, or Consultants

The goal of NEWWA Education and Training Program is to provide essential content information in the most positive learning environment possible throughout each and every learning event in the NEWWA Education and Training Program. It is required that any/all information covered in an instructional presentation be directly related to the educational objectives and learning outcomes of the learning event and remain strictly informational in nature.

When a guest presenter or instructor is involved with a product or service available for sale, no active marketing can take place in the Learning Program. The presenter or guest will be listed in the program and/or introduced, recognizing the individual's employer/affiliation. The guest presenter or instructor may distribute business cards/contact information upon request by learners in attendance.

When discussing specific products or services, discussion must focus on the product's availability, where learners can receive technical assistance, service, or parts. A stocking distributor(s) can be identified.

Guest presenters or instructors may present information on new technology. Manufacturer's literature and hardware may be utilized in the presentation with the approval of the Lead Instructor and/or the Deputy Executive Director based on educational value and potential for learning event content enrichment.

The following activities will not be conducted:

- Active marketing or sales activity involving any learner or group of learners
- Comparison of an individual product or service with a competing product by means of listing advantages or disadvantages.

Guest presenters or instructors should be factual and must not make statements/claims with regard to product or service superiority.

The Lead Instructor, NEWWA training unit staff member, designated Learning Event Coordinator, or Deputy Executive Director establish time limits for all presenters. All guest presenters or instructors and each presentation on a given product or service must be approved by the Lead Instructor, NEWWA training unit staff member or Deputy Executive Director prior to the learning event.

Method of Notification to Learners:

Learners are notified of the *Policy for Participation by Manufacturer's Agents, Distributors, or Consultants* by announcement prior to the conduct of the learning event. The policy is reviewed with learners by the learning event instructor/facilitator during the orientation to the learning event, prior to the start of learning event instruction. A hard copy of the policy is provided in the learning event participant materials and is referenced during the announcement.

NEWWA Policy 6.5

Policy on Intellectual Property Rights

NEWWA owns unlimited exclusive rights to all works, including literary works, pictorial, graphic works, works of visual art, and any other work that may be the subject matter of copyright protection, also included by not limited to advertising and marketing concepts, information, data formulas, designs, models, drawings, computer programs, including all documentation, related listings, design specifications, charts, trade secrets, and any invention that may be subject matter of patent protection, and all statutory protection that obtained or obtainable thereon. NEWWA therefore assumes all rights, title, and interest in and connection to Intellectual Property created, made, conceived, reduced to practice or authored, in connection with the performance of this assignment or with the information, materials, or facilities of NEWWA. NEWWA shall be free to make use, offer for sale, sell, modify, translate and import products utilizing all Intellectual Property.

Contractors and subcontractors understand and agree that all materials submitted become the property of NEWWA. Contractors and subcontractors agree that all materials produced for the course (learning event), including second and subsequent editions and any updates, supplements, derivatives, in whatever medium, will be considered a work made for hire, as that term is defined in federal copyright statute. As such, NEWWA will be considered to be the "author" of the "work" and will own all rights; title, interest in the work, including the right to copyright it; and that contractor will cooperate as necessary with NEWWA in assisting NEWWA to secure copyright in its own name in the work. Contractors and subcontractors represent and warrant either that the work is his or her own original work in the public domain, or that the Contractor agrees to defend, indemnify, and hold harmless NEWWA for break of this warranty.

NEWWA Instructors are provided with course (learning event) materials for the sole purpose of teaching NEWWA courses. They are not at liberty to conduct a course (learning event) without NEWWA's coordination and approval. Instructors agree not to revise course content and pertinent presentation materials without expressed written consent of NEWWA. Any parties in possession of NEWWA course (learning event) materials, such as previous course participants, also agree to abide by this agreement.

Category 7: Content and Instructional Methods

NEWWA Policy 7.1 on Content and Instructional Methods

Purpose

NEWWA training unit staff are directly and actively involved as decision makers in all phases of the developmental and delivery process for each learning event. Instructional methodologies (mindful of content organization for the appropriate target audience) are closely monitored towards the goal of achievement of intended learning outcomes. All learning events utilize multi-modal instructional methodologies (auditory-visual, kinesthetic) with the intent of optimizing the learning experience for a wide range of learners and learning styles. Each learning event is supported, whenever possible (in addition to traditional auditory platform, "lecture style" instruction) by instruction incorporating visuals (e.g. PowerPoint presentations with embedded video, DVD/CD ROMs, "learner friendly" diagrams, schematics, cutaway models, etc.), print media (e.g. "talking point" structured outlines for instructional segments to enhance comprehension and support "follow along" understanding; worksheets; workbooks; manuals; texts; case studies/application-oriented summaries), and most feature "hands-on" learning/learning by doing" built into the learning event (e.g. operating a backhoe/front end loader to move a stock pile in Hands-On Backhoe/Front End Loader Operator Training or conducting a variety of filter surveillance techniques in Filter Surveillance Workshop). Additionally, whenever appropriate, learners are engaged in interactive learning with instructors and other learners in the group (e.g. instructional strategies utilizing structured task groups for exercises in "simulated real world problem solving", with the chance to report to the larger group; self-assessments (written) completed individually, and shared/compared with the larger group) to facilitate successful learning outcome achievement and assure continuity (and content coverage). All NEWWA learning events chart a "tell-show-do" learning pathway for the learner which consistently links content to learning outcomes throughout to ensure the high quality of each and every learning event developed and presented by the Association.

Responsibilities

All NEWWA training unit staff involved in the NEWWA Education and Training Program, whether functioning as administrators, planner/developers, or instructors are fully informed and have a sound understanding of the systematic process for learning event development and delivery in full compliance with the ANSI/IACET Standard through adherence to established NEWWA Policies and Procedures.

NEWWA training unit staff are responsible for assuring that all learning event content is developed in a logical manner and designing all instructional methods to ensure planned learning outcomes are met for learning event participants with varied learning styles.

Standard Element 7.1 Process/Procedures

NEWWA educational materials outline what the learner will learn at the beginning of each learning event and re-emphasize what the learner has learned at the end of each learning event. These materials also define the time that the learner will spend on each learning activity and are developed to be used both as learning tools in the classroom and as reference materials after the completion of the learning event. NEWWA training unit staff ensure that learning event materials meet the needs of learners, and that learning event delivery supports different learning styles. NEWWA training unit staff (functioning as instructors) and adjunct faculty provide multi-modality (auditory visual- kinesthetic) instruction for learners utilizing (and appropriately blending) visual aids, print media, and hands-on instruction. NEWWA training unit staff address learner questions and promote discussion, administer learning assessments to ensure learners learn what

is expected, plan and supervise hands-on instruction, analyze and interpret learner assessment results and provide feedback to learners.

Category 8: Assessment of Learning Outcomes

NEWWA Policy 8.1 Assessment of Learning Outcomes

Purpose

NEWWA training unit staff are involved as decision-makers in the development and delivery of each learning event. They closely monitor the stepwise processes across the developmental to delivery process leading to the demonstration of mastery of learning outcomes in each learning event. The initial planning phase of each learning event identifies measurable learning outcomes and how they will be assessed as key steps towards meeting identified learning needs. NEWWA training unit staff ensure that assessment procedures are established during the planning of each learning event. During the planning phase, each learning outcome is identified, discussed, and an appropriate assessment that demonstrates mastery of the learning outcome is confirmed. This ensures compliance with the ANSI/IACET Standard, and the high quality of each learning event developed and presented by the Association. NEWWA's requirements for successful completion of an IACET CEU learning event specify that completed learning outcome assessments are a completion requirement for each learning. Each NEWWA training unit staff Member as a decision-maker in the learning event development and delivery process directly (as an instructor), or indirectly (in compliance oversight with adjunct faculty and volunteer committees and instructors) ensures that the ANSI IACET Standard for establishing assessment procedures for identified learning outcomes is met in planning and fulfilled through a variety of measurement methodologies including: question and answer sessions, panel discussions, segment/activity summaries, simulation exercises, written and oral examinations (quizzes and self-assessments), group projects/planning/ decision-making exercises, etc.

Responsibilities

Designated NEWWA training unit staff are responsible to ensure that assessment procedures are established during the planning of each learning event.

Process/Procedures

Assessment methods are identified and incorporated early on via the utilization of the NEWWA Course Planner/ Time Tracker.

NEWWA is compliant with the ANSI/IACET Standard for Continuing Education and Training. During the planning phase of each learning event, NEWWA training unit staff evaluate several assessment methods for consideration. The assessment method chosen takes into consideration the learning style of the participants, the objectives of the learning event, and instructional contact time for learning.

Learning Assessment Methods Checklist

Purpose:

During the planning of an NEWWA Learning Event, there are several assessment methods to consider. The assessment method(s) selected should take into consideration the learning style of the participants, the objectives of the learning event, and the time frame for training.

1.) Performance-Based Items or Events:

A. Exams and/or quizzes

Consider Types

- Open Book/Closed Book
- Pre/Post Testing
- Multiple choice/Short Answer/Essay Questions
- Oral/Written/Graded Practice

Consider Timing

- At the end of critical sections
- At the end of the learning event
- Before class to establish baseline knowledge level
- A month after training has been completed to measure how well training met participants needs on the job

B. Hands-On Exercises

- Can be used to demonstrate/measure mastery of a skill
- Allow participants to apply information presented in training to “real world” situations.

C. Class Discussion

- Can assess the learner’s grasp of content
- Allows for learners to demonstrate the ability to apply knowledge to new situations

2.) Observation:

The instructor will make notes on the learner’s evaluation sheet/performance checklist about any learner having difficulties and follow-up in breaks or after class to discuss any problems.

3.) Self-Assessment:

May be used in conjunction with performance-based activities to help the student determine where more training is needed. It should be noted that this is the least effective way of measuring participant learning.

Policy 8.2 Assessment methods shall Measure the achievement of learning outcomes in compliance with ANSI/IACET Standard for Continuing Education and Training

Purpose

NEWWA assessments of achievement/mastery of learning outcomes are a key component in the evaluation of the overall effectiveness of the learning experience from both the learner’s and the Association’s perspective. Pre-determined assessments provide both a learning measurement tool and a feedback mechanism for NEWWA learners and instructors. An explanation of the assessment and what the learner will have to perform is provided to learners at the beginning of each learning event. Instructors carefully review the assessment (s) for the given learning event. Reminders are also issued to participants during the learning event. Immediately

prior to administration, detailed information and formal instruction on the assessment is provided to all learners.

NEWWA also notifies learners regarding methods of assessment of learning outcomes via description in promotional literature for individual learning events whenever appropriate. In the case of certification and licensure courses, formal letters (and/or emails) of confirmation including this information are sent to learners two weeks prior to the course confirming the Written and Practical Examination process.

Responsibilities

Designated NEWWA training unit staff are responsible to ensure that assessment methods measure the achievement of learning outcomes.

Process/Procedures

| Step | Responsible Party | Timeline | Action |
|-------------|---|---|---|
| Step 1 | NEWWA training unit staff Member | At the time of course development or modification | <ul style="list-style-type: none">Creates assessment(s) covering essential aspects of training using the Learning Assessment Methods Checklist (NEWWA Form 5.1b) and the Instructional and Assessment Methods Form to validate participant learning. |
| Step 2 | NEWWA Training Unit | As required | <ul style="list-style-type: none">Updates learning assessments based on:<ul style="list-style-type: none">Feedback from learners on Learning Event/Instructor Evaluation FormContent changes warranted in response to regulatory/policy or technology changes.Continuous improvement feedback from NEWWA Training Unit Staff Meetings |
| Step 3 | NEWWA training unit staff / adjunct faculty | At each learning event/ongoing | <ul style="list-style-type: none">Advises learners what assessment score is needed to earn CEU creditAdministers assessments.Grades assessments, provides feedback, answers question, discusses questions during the learning eventProvides learners with Learning Event/Instructor Evaluation forms to obtain feedback about content, |

| | | | |
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| | | | learning environment, instructional methods, instructor |
| Step 4 | NEWWA training unit staff / adjunct faculty | At the completion of each learning event | <ul style="list-style-type: none"> Transfers the required learning event completion documents (including graded assessments) to the NEWWA Registrar |
| Step 5 | NEWWA training unit staff / adjunct faculty | Ongoing | <ul style="list-style-type: none"> Reviews learner assessment scores and feedback Meets with other NEWWA training unit staff and assigned adjunct faculty to review/discuss feedback and recommend improvements |

Policy 8.3 NEWWA process for learners to be given feedback on their mastery of learning outcomes in Compliance with ANSI/IACET Standard for Continuing Education and Training

An explanation of the assessment and what the learner will have to perform is provided to learners at the beginning of each learning event. Instructors carefully review the assessment (s) for the given learning event. Reminders are also issued to participants during the learning event. Immediately prior to administration, detailed information and formal instruction on the assessment is provided to all learners.

NEWWA also notifies learners regarding methods of assessment of learning outcomes via description in promotional literature for individual learning events whenever appropriate. In the case of certification and licensure courses, formal letters (and/or emails) of confirmation including this information are sent to learners two weeks prior to the course confirming the Written and Practical Examination process.

Responsibilities

Designated NEWWA training unit staff are responsible to ensure that assessment methods measure the achievement of learning outcomes.

Category 9: Awarding CEUs and Maintaining Learner Records

NEWWA Policy 9.1: NEWWA policy on the systematic process used identify and inform learners if they have met the established criteria for successful completion of the learning event and if they qualify for CEU's.

NEWWA compiles all information for each learner in each learning event including the learner's name, address, phone number, learning event name, learning event date, learning event completion/non-completion status (and any learning outcome assessment scores) and CEUs awarded. NEWWA informs all learners of their learning event completion/non-completion. Learners who meet the NEWWA Requirements for Successful Completion of an IACET CEU Learning Event (Category 8) will be awarded the calculated/assigned IACET CEU credit for the learning event. Learners who fail to meet the NEWWA Requirements for Successful Completion of an IACET CEU Learning Event will be duly informed, provided with the reason(s) for non-completion and what the learner must do to successfully complete the learning event.

NEWWA stores and backs-up (daily) all required learner information for a minimum 7 years.

NEWWA maintains the privacy of all learner records in adherence with the NEWWA Record Keeping Policy. NEWWA only releases learner record information to the learner or the learner designated third party in accordance with the NEWWA Release of Student Records Policy.

Purpose

Each NEWWA training unit staff as a decision maker in the learning event development and delivery process is charged with the responsibility to ensure that each learner meets the NEWWA requirements for successful completion of an IACET CEU Learning Event in order to be awarded the calculated/assigned IACET CEU credit for the learning event, or to duly inform any learner(s) who fail to meet the NEWWA requirements for successful completion of an IACET CEU Learning Event and provide the reason(s) for non-completion and what the learner must do to successfully complete the learning event. This ensures compliance with the ANSI/IACET Standard and the high quality of each and every learning event developed and presented by the Association.

Responsibilities

Designated NEWWA training unit staff overseeing NEWWA adjunct faculty) are directly responsible to ensure that the established NEWWA process to identify and inform learners who satisfactorily complete, or fail to complete, the learning program is implemented and adhered to in accordance with NEWWA Requirements for Successful Completion of an IACET CEU Learning Event.

Process/Procedures

| Step | Responsible Party | Time Line | Action |
|-------------|---|---|---|
| Step 1 | Designated NEWWA training unit staff Member/Coordinator | Prior to announcement of learning event | <ul style="list-style-type: none"> • Completes learning event set up form |
| Step 2 | NEWWA Registrar | At the beginning of each learning event | <ul style="list-style-type: none"> • Provides pre-registration advisement, registers participants in NEWWA secure records database (Association Management System, AMS) inputting information from NEWWA Registration Form or online registration, provides written registration confirmations (mail/email) with support service information/any technology requirements, generates master attendance list (class roster) |
| Step 3 | NEWWA training unit staff Instructor or adjunct faculty | At the beginning of each learning event | <ul style="list-style-type: none"> • Outlines the NEWWA Requirements for Successful Completion of an IACET CEU Learning Event 8.1a), NEWWA Records Keeping Policy, and NEWWA Release of Student Records Policy. |
| Step 4 | NEWWA training unit staff Instructor or adjunct faculty | At the end of each learning event | <ul style="list-style-type: none"> • Verifies that each learner has met the NEWWA Requirements for Successful Completion of an IACET CEU Learning Event/ informs learners (and completes NEWWA Form/Learning Event Non Completion Form who did not meet the NEWWA Requirements for Successful Completion of an IACET CEU Learning Event and what they must do to complete the learning event and submits the final learning event attendance roster with verification/sign-off of completion requirements and all support documents to the NEWWA Registrar or designated NEWWA training unit staff Member. |
| Step 5 | NEWWA Registrar | Within 5 working days of | <ul style="list-style-type: none"> • Inputs the final compliance information into AMS; |

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| | | completion of learning event | verifies/awards IACET CEU credit; issues/ IACET CEU Certificate. |
| Step 6 | NEWWA training unit staff/NEWWA Staff | Ongoing | <ul style="list-style-type: none"> • Adheres to strict privacy of each learner in accordance with NEWWA Policies and Procedures and ANSI-IACET Standard |
| Step 7 | NEWWA Registrar | Upon receipt of completed and signed NEWWA Education Transcript request form | <ul style="list-style-type: none"> • Creates NEWWA Official Confidential Educational Transcript and sends it to the learner. |
| Step 8 | Automatic/Vendor | Automatic/Daily | <ul style="list-style-type: none"> • Automatic backup of cloud-based AMS is a daily on-going procedure |

Policy 9.2: NEWWA Record Keeping Policy

Student Records:

New England Water Works Association (NEWWA) will maintain all records related to training for a period of not less than seven years.

Individual student records will include the following information:

- course title
- date(s) of course.
- date of completion
- Continuing Education Units (CEUs) earned.

These records will be maintained in paper and/or computer files. Computer files will be backed up daily (Monday through Friday) in the Associations AMS System.

Course Records:

Course records will be maintained in paper files which will include:

- course outline
- learning outcomes
- handouts and a record of print media and other media utilized.
- assessments of learning outcomes
- course evaluations
- summary of course evaluations
- attendance records

Certification Records:

Certification records will be maintained in paper and/or computer files depending on the program.

Records Maintenance:

The NEWWA Registrar will update all participant permanent record data within one week (five working days) of completion of the learning event.

NEWWA Policy 9.3: NEWWA Learner Privacy Policy

Collection and Use:

Learner privacy is important to NEWWA. We do not collect any personal information from learners except when expressly volunteered. This includes when you:

1. Register for a course.
2. Fill out an NEWWA Educational Transcript Request Form

Your personal information will be shared only with you. This information includes:

1. Courses you have completed (including course title, course date(s)/duration)
2. CEUs you have been awarded

NEWWA does not share, sell, or rent personal information.

Category 10: Program Evaluation

NEWWA Policy 10.1: Process to gather learner feedback on learning events, instruction, learning methods, and the learning environment; NEWWA analyzes all learner feedback and learning assessments to continuously improve learning events, instruction, learning methods, and the learning environment.

Policy

NEWWA provides continuous improvement to all learning events by utilizing feedback from learners. NEWWA decision-makers (training unit staff) employ in-depth, written evaluation instruments to assess each learning event. Each assessment instrument samples all key areas specified in the ANSI/IACET Standard for Continuing Education and Training including successful achievement of learning outcomes, instructor competence in subject matter and instructional skill, how learning may be applied, quality of the learning environment, and opportunities to improve the learning event. The objective of gathering comprehensive feedback is to examine the accuracy and effectiveness of needs assessment, logistical and instructional planning and execution, instructor selection and preparation, development of defined and measurable learning outcomes, instructional content, instructional methodologies, instructional materials, instructional quality, and demonstration of mastery of learning outcomes.

Purpose

Each NEWWA evaluation instrument elicits responses to various types of rating scales as well as narrative comments on essential learning event parameters. Each learner is required to complete an evaluation instrument for each learning event. Each completed learner evaluation instrument is confidential. Though learners are required to submit a completed instrument at the end of the learning event, the evaluation is anonymous (names are specifically not required and not requested) and completed instruments are submitted anonymously into an evaluation bin/box as a step in the learning event "sign-out" process/procedure. The learning event evaluation process is a core component of the learning event development process/continuous improvement cycle. It is established at the outset of learning event development, closely monitored throughout by NEWWA training unit staff (in addition to adjunct faculty and Volunteer Instructors when appropriate) and is mandatory for successful completion of every learning event. NEWWA decision-makers (NEWWA training unit staff) directly oversee this process, making certain that both the importance and intent of the ANSI/IACET Standard Category and its substituent elements (and NEWWA implementation policy and procedures) are clearly understood and carefully followed in each learning event. Learning evaluations for each learning event are summarized by NEWWA training unit staff, both statistically and inclusive of a complete compilation of all written comments and are retained with the permanent (written) records for each learning event. Learning event evaluations are promptly reviewed for each new learning event (and on an ongoing basis for each established learning event) by NEWWA training unit staff to assure that the ANSI/IACET Standard Category and all substituent elements are met, as well as to assess the need for potential, or actual modifications to the given learning event. Learner evaluations (and summaries) are simultaneously distributed to specific Association Technical Committees and the Education Committee for this same purpose.

Responsibilities

Designated NEWWA training unit staff are responsible to ensure that the process for programmatic evaluation of learning events is being followed as established in NEWWA Policy 10.1. This responsibility extends to their direct operational roles as instructors and learning event decision makers/ administrators and in an oversight role with NEWWA adjunct faculty and NEWWA volunteer instructors.

Process/Procedures

| Step | Responsible Party | Time Line | Action |
|-------------|---|--|---|
| Step 1 | Designated NEWWA training unit staff Instructor/Coordinator, NEWWA adjunct faculty | During and after each learning event | <ul style="list-style-type: none"> • Administers assessment(s) of learning outcomes* to assess participant learning; provides hands-on learning activities to enhance learning. |
| Step 2 | Designated NEWWA training unit staff Instructor/Coordinator, NEWWA adjunct faculty | After the completion of each learning event | <ul style="list-style-type: none"> • Reviews instructions on completion of learning event evaluation forms (initially covered prior to the start of the learning event and provided (prior to the learning event) with participant materials at the time of attendance registration/sign-in: • Reviews the evaluation instrument (rating scales, narrative comments, completion requirement, and submittal of completed instrument) and key feedback information parameters: content, instruction, participant materials, instructional methods, learning environment, etc.). • Collects feedback (completed evaluation instrument) from each learner and reviews all instruments. Forwards all instruments to designated NEWWA training unit staff Member (adjunct faculty) or directly to NEWWA Registrar (NEWWA training unit staff) for compilation into Evaluation Summary. |
| Step 3 | NEWWA Registrar | Within 10 business days of completion of the learning event. | <ul style="list-style-type: none"> • Compiles feedback from learners into Evaluation Summary and forwards to designated NEWWA training unit staff member. |
| Step 4 | Designated NEWWA training unit staff Member | Within 2 business days of receiving the information. | <ul style="list-style-type: none"> • Completes NEWWA Needs Analysis Checklist if warranted and schedules a meeting with the Deputy Executive Director, |

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| | | | designated training unit staff Member, adjunct faculty Member, or Technical Committee Instructor as warranted. |
| Step 5 | Designated NEWWA training unit staff Member | Within 5 working days of reviewing feedback | <ul style="list-style-type: none"> • Meet to discuss feedback if required: • Document areas in learning event methods, materials and learning environment that require improvement. • Determine and document ways the Instructor(s) can improve |
| Step 6 | NEWWA training unit staff/NEWWA Staff Designated NEWWA training unit staff Instructor, adjunct faculty Member, Volunteer Technical Committee Instructor(s) | Ongoing Within 15 Business Days of Feedback Meeting/Discussion | <ul style="list-style-type: none"> • Improves presentation techniques. • Improves learning event materials. • Implements improved instructional methodology/methodologies. • Improves learning environment |
| Step 7 | Designated NEWWA training unit staff Member | After completion of Step 6 | <ul style="list-style-type: none"> • Meets with Deputy Executive Director, designated training unit staff Member, adjunct faculty Member, or Technical Committee Instructor to review and approve updates and improvements documented in Step 6. |

*NEWWA consistently strives to carefully assess the effectiveness of each learning event through in-depth analysis of each Learning Event Evaluation Form/Learning Event Evaluation Summary. First and foremost is the consideration of effective attainment of performance-based change and mastery of learning outcomes.

Needs Analysis Checklist

NEWWA learning events are evaluated and revised on a real time basis as changes in regulatory requirements, technologies, or material/equipment arise. A formal review process is conducted to assure ANSI/IACET Standard compliance inclusive of needs analysis as it relates to currency and relevancy of content and potential learning constraints. Accuracy and currency of participant materials, media resources, and technological supports are also assured through formal review.

Feedback sources utilized (for real time review) to assure that learning events remain current and relevant and that learning outcomes are met include regulatory updates, information provided in participant evaluation forms and participant evaluation summaries compiled and reviewed upon completion of learning events, email/mail requests, in-person and telephone requests, and feedback/data from various survey instruments (e.g. survey forms/tools, committee/focus group meetings reports). A Needs Analysis Checklist is utilized as a summary tracking tool for these changes.