



ASSOCIATION FOR
PUBLIC POLICY ANALYSIS
& MANAGEMENT

Amended August 2021

[To file a Code of Conduct Report, use this form](#)

Background and purpose. The Association for Public Policy Analysis and Management (APPAM) is dedicated to improving public policy and management by fostering excellence in research, analysis, and education. In pursuing this mission, APPAM is committed to an inclusive and productive environment, allowing all members and guests to exchange ideas and do their best work.

APPAM seeks to ensure that all its settings and activities are free of inappropriate conduct, including but not limited to, discrimination (both intentional and unintentional), harassment, intimidation, and violence directed at individuals or groups based on, but not limited to, race or ethnicity, sex, gender, gender identity and expression, sexual orientation, age, class, political affiliation, nationality or immigrant status, ability, or religion.

Leaders of APPAM, including officers, members of the Policy Council, and heads of committees, are expected to set a high standard of behavior for the organization. They pledge to serve as ambassadors of the vision, mission and operating principles of APPAM. This requires them to be prepared and fully engaged at all times, behave with respect and civility in all discussions and debate, make decisions based on the merit of issues, and act honestly, transparently and ethically.

This code defines inappropriate conduct, sets forth a process for reporting such conduct, and defines how APPAM may respond to such reports. It also lays out expectations about behavior by APPAM leadership. By joining APPAM and through participating in APPAM activities, members and participants agree to comply with this code.

Definition of inappropriate conduct. Inappropriate conduct may include, but is not limited to, bullying, slurs, epithets, name calling, physical assaults or threats, unwanted touching or persistent unwanted attention or invasion of personal space, inappropriate jokes, repeated, deliberate and inflammatory discussions of divisive issues such as religion, sex, politics, culture or other topics not in any way related to APPAM policies or agenda, intimidation, ridicule or mockery, and insults and put-downs. Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature that is engaged in without clear affirmative consent. These

actions are prohibited both when they are directed at specific individuals and groups or when they create a hostile environment. All members of APPAM and participants in APPAM activities agree not to engage in inappropriate conduct.

Although anyone can be a victim of inappropriate conduct, APPAM recognizes that harassment and sexual assault disproportionately target women; people of color; trans and gender non-conforming individuals; and disabled people.

Scope of Coverage. Violations of the Code of Conduct in APPAM spaces (meetings, activities, journal) may be reported to the Code of Conduct Committee (CCC). In addition, the CCC can consider complaints about members or regular conference attendees for violations of the Code of Conduct that occurred outside of APPAM spaces if there is public and substantial evidence of professional misconduct that has been sanctioned by an employer. APPAM will not initiate investigations of behavior that occurs outside of APPAM spaces.

APPAM's response to inappropriate conduct. As an organization dedicated to fostering excellence and the exchange of ideas, APPAM takes seriously any report, formal or informal, of inappropriate conduct related to APPAM activities and will investigate any formal report. We will make every effort to ensure that this commitment is manifest in the policies, programs, and practices of the organization. APPAM expressly prohibits retaliation against individuals who report inappropriate conduct and will take action against those who retaliate.

Roles, Responsibilities, and Authority

Code of Conduct Committee. Upon approval of this Code by the Policy Council, APPAM shall form a Code of Conduct Committee (CCC). It shall consist of the Executive Director, President, President-elect, and a member selected annually by the Policy Council. This Committee will review the Code of Conduct and its enforcement on an annual basis and recommend revisions, as appropriate, to the Policy Council. It will elect a Chair for the term of one year. Members of this committee are required to disclose any conflicts of interest in particular activities undertaken.

External Consultant. APPAM will engage an External Consultant, who is not a member of APPAM, and is selected and approved by the CCC, if the CCC deems an outside party is necessary for investigation and deliberation. This consultant will be compensated on an as-needed basis and will have experience responding to and investigating inappropriate conduct claims within organizations.

Reporting. Reports of inappropriate conduct or retaliation can be made via a [form on the APPAM website](#) – there is an option to remain anonymous via the form. APPAM staff will receive the form and will notify the CCC Chair. The chair and the other committee members will then determine if the matter needs to be referred to the external

consultant for review.

The process of reporting differs depending on whether the violation occurred in APPAM spaces.

Violations in APPAM Spaces

Individuals who experience a violation of the code of conduct in APPAM spaces have the following options:

1. Request a confidential consultation with the CCC Chair with a request for resources, information about reporting/resolution options, and to seek support. Reports will be held confidential to the extent allowed by law. (Some behaviors will have to be reported to appropriate authorities, such as those involving a minor or those involving criminal behavior.)
2. Make a confidential inquiry to the CCC Chair with a request for screening/review and recommendation for resolution [e.g. through a mediated meeting] with the option, but without obligation, to file a formal report.
3. Make a formal report to the CCC Chair with a request for an investigation or fact-finding inquiry, with possible sanctioning of the accused party. All formal reports will result in a formal investigation unless withdrawn by the complainant.

Support Services/Advocacy. Those requesting consultation or making a report will be provided with resources for trauma-informed support.

Elements of a Formal Report. A report should include, to the extent possible, the following information in writing:

- 1) the name and contact information of the complainant; 2) the name and contact information of the subject of the complaint; 3) a statement that other legal or institutional proceedings involving the alleged conduct have not been initiated or, if initiated, the status of such proceedings; 4) a full description of the conduct alleged to have violated the code of conduct including the sources of all information on which the allegations are based; 5) copies of any documents supporting the allegations; 6) names and contact information of potential witnesses/references.

Investigation/Fact-Finding. Formal reports containing the details noted above will be investigated by the CCC and, if necessary, an External Consultant. The accused party will be notified of the charges and given an opportunity to respond. Each party's statement will be shared with the other. Both parties may provide contact information for individuals to serve as witnesses/references.

Timeframe. Formal Reports (other than those addressing violations occurring during the Fall Conference) will be acknowledged as soon as possible by the chair of the CCC and

responded to within 30 days. The chair will respond to all reports at the conference.

Resolution, Outcomes. The CCC will keep a written record of the process and submit a written final report that will be shared with both parties. Potential outcomes of investigations include the following:

1. *Negative/Inconclusive Finding:* If the CCC's finding is inconclusive or negative, the CCC Chair will inform both parties of the finding in writing.
2. *Finding of Code of Conduct Violation:* If the CCC finds that a violation has occurred (and has recommended the appropriate sanctions), the CCC Chair will convey the finding and the sanctions in writing in the form of a recommendation to the CCC. Once reviewed and approved (with or without amendment) by the CCC, the CCC Chair will inform both parties of the finding and sanctions in writing.

Violations Outside of APPAM Spaces.

Individuals who wish to report a publicly documented violation of the Code of Conduct that occurred outside of APPAM spaces should make a formal report via [a form on the APPAM website](#). The formal report should include the following information in writing: 1) the name and contact information of the complainant; 2) the name and contact information of the subject of the complaint; 3) a full description of the conduct alleged to have violated the code of conduct and the sanctions levied by another organization (employer, professional organization, or legal body); 4) copies or links to any publicly available documents supporting the allegations. In cases of behavior that occurred outside of APPAM spaces, the CCC will review all relevant documents that are public or can be obtained through a request related to the situation. This may include articles in the media, published findings from other organizations, and reports that can be made public on request. APPAM CCC will not conduct original fact-finding activities for reports of misconduct outside of APPAM spaces, but they can opt to consult with the external consultant or others when deciding whether to impose sanctions.

Sanctions. Based on a finding of inappropriate conduct, inside or outside APPAM spaces, potential sanctions may include, but are not limited to, any of the following:

- removing the party from a meeting or event without further advance notice or refund
- prohibiting participation in future APPAM events
- revoking membership or removal from leadership positions
- rescinding awards
- barring from leadership positions

- reporting to appropriate legal authority and/or to that person's home institution
- a public statement from the Policy Council acknowledging the findings and sanctions.

Appeal. Either party may appeal the findings of the investigation within 30 days of receiving the report. Appeals will be made to the past President, who may form an appeal committee, convening additional members at the past President's discretion. Grounds for appeal include a claim of procedural error, substantive or significant new evidence which was not previously available, evidence of the use of impermissible criteria, or objective evidence of bias in the fact-finding and decision process.

Policy Updates and Approval. This Code policy and its enforcement will be reviewed by the CCC on an annual basis and updated/amended with the Policy Council's approval as deemed necessary and appropriate, and may be updated, amended or rescinded without notice.

Code of Conduct for APPAM leadership and Awardees. Those in a leadership position at APPAM have certain responsibilities. They agree to:

- Uphold the law, refrain from discriminatory behavior, and follow APPAM's bylaws and policies.
- Act on behalf of our members, rather than personal agendas.
- Make decisions based on the merits of the issues.
- Commit to ongoing Board development and learning best practices for governing an association.
- Create an environment for healthy give and take, speaking candidly and openly with respect for others, critiquing ideas rather than individuals, discussing any concerns in person whenever possible.
- Avoid personal attacks directed toward other members, staff, partners and collaborators.
- Not betray confidences or share known confidential or proprietary information.
- Serve as ambassadors of the organization's mission, policies, programs and services to its different stakeholders.
- Refrain from speaking as an official spokesperson of APPAM to the media, partners and policy makers unless designated as a spokesperson by the President and Executive Director.
- Participate in periodic assessment of leadership performance and use this information to continually improve the performance of APPAM leadership.
- Serve as role models to demonstrate the highest standards of ethical conduct.

Starting in 2021, all elected leaders, nominees and potential appointees for positions of leadership (e.g. policy council, program committee chairs), and anyone receiving an award from APPAM will be required to read and acknowledge reading the Code of Conduct and attest to not being currently or recently (past 10 years) sanctioned by their employer for professional misconduct that violates the APPAM Code of Conduct.

