

GOOD GOVERNANCE PROJECT (GGP)

Recommended Changes to Maximize
Organizational Effectiveness of APA Governance



REPORT OF THE GGP PROJECT TEAM

A broadly representative group of leaders from diverse backgrounds and organizational perspectives

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EXECUTIVE SUMMARY

Based on the APA's Strategic plan, the purpose of the Good Governance Project was to conduct a detailed review and recommend changes that would *maximize organizational effectiveness of APA governance by assuring its practices, processes and structures are optimized and aligned with what is required to thrive in a rapidly changing and increasingly complex environment.*

Since its inception, the GGP team has collected data, assessed existing structures and processes, and reviewed relevant best practices related to the entire system of APA Governance, including the Council of Representatives, the Board of Directors, and their relationships to advisory boards and their committees. The resulting systematic and systemic strategy of change being presented by the GGP is designed to achieve three primary goals: (1) increase alignment of APA governance function and structure with the Association's strategic plan and strategic direction, (2) enhance nimbleness (efficiency) of governance processes, and (3) increase organizational and governance engagement of all members, including a continuation of APA's commitment to diversity, broadly defined.

GGP concludes that these goals can be accomplished by repurposing Council's function to concentrate its activities on major issues in psychology, refocusing and reconfiguring the Board so that its roles and authorities concentrate on managing fiduciary and internal matters of the Association, thus freeing the Council to concentrate on major issues in psychology, and realigning the work of advisory boards and committees to enhance their advisory roles vis-à-vis new roles of Council and the Board.

OVERVIEW OF MAJOR CHANGES PROPOSED

The proposed options considered for changes to APA governance range from relatively non-controversial items to concepts that may be challenging to achieve politically. GGP envisions that a significant alteration and improvement in the way that governance operates can be achieved both with and without structural change to Council. Each proposed option moves the Association closer to meeting the three primary goals of alignment, nimbleness and engagement. Beyond functional changes proposed by the GGP, structural changes are offered that, if adopted, would further enhance the achievement of these goals.

The proposed change strategy presented here contains seven major elements, beginning with those functional changes that are most likely to attain early consensus. While each element of this change strategy builds on previous decisions, many of the proposed changes could stand alone. There is a fundamental assumption that there will be a Board-like body (Board) and a Council-like body (referred to as an Assembly in this report). Change elements are color coded throughout this report. The Executive Summary provides an introduction to the recommended change elements, the body of the report then expands on those concepts, and the Appendix provides supporting data and historical information from the GGP process.

System of Change Elements

Implementation Phase. Each of the change levels proposed will require an implementation planning process. It is assumed that the Assembly and the Board will take responsibility for the implementation phase and work collaboratively to make the decisions needed to ensure the smooth transition to whatever changes are adopted.

1. Enhance the Use of Technology

2. Leadership Pipeline & Development

3. Triage System

4. Repurpose Assembly / Realign Boards & Committees

5. Realign Fiduciary Roles

6. Reconfigure Board of Directors

7. Assembly Structural Options

1. Enhance the Use of Technology

GOALS: ENGAGEMENT & NIMBLENESS

Many of the recommendations included in this report are possible because of the increasing sophistication of technological tools. The GGP presumes that both the Board and the Assembly will expand their embrace of technology to enhance their effectiveness, efficiency and nimbleness in addressing the future of APA.

The four main areas where the integration of technology will improve the governance system are:

- Expansion of opportunities for communication and learning for members of governance;
- Addition and consideration of general membership's viewpoints more directly and relevantly into deliberations;
- Increased opportunity to do the work of governance through both virtual interactions and face-to-face meetings;
- Increased transparency and communication about the activities of governance for both those in governance and the general membership.

2. Open Leadership Pipeline and Development Process

GOAL: ENGAGEMENT

The importance of ensuring a next generation of effective APA leaders has been an underpinning of the governance shifts addressed by the GGP. This has led to the recommendation for opening up opportunities to serve in APA governance beyond those currently serving on the Council, creating a broader pipeline of those coming into governance and expanding the availability of leadership development opportunities.

3. Embrace a Triage System

GOALS: ALIGNMENT & NIMBLENESS

A central piece of the proposed governance system is ensuring that the appropriate governance body(s) addresses new items, situations and issues and that they move through the system efficiently and without duplicative efforts. More detail on how an issue might be triaged through the system is in the body of the report on page 7 and information on which group might have authority for what can be found on page 20 in the appendix.

4. Repurpose the Assembly and Realign Boards & Committees

GOALS: ALIGNMENT & NIMBLENESS

A basic functional change is to shift the Assembly's agenda so that it spends more time on its key role, the deliberation of major issues facing psychology and the impact of those issues on the public. Through a mega-issue discussion process, the Assembly can participate in major policy decisions and ensure policies are in alignment with the strategic direction of the Association. This can be accomplished by altering the agenda setting process that would be greatly enhanced by a triage process. An Assembly leadership team is proposed to assist with managing the new workflow of the group.

Realign Advisory Boards and Committees

Advisory boards would report either to the Board or to the Assembly, depending on their primary function, and their roles would shift to a greater alignment with the strategic plan and more supportive and collaborative work with the Assembly. Both the Assembly and the Board would be engaged in defining these roles during the implementation phase, with input from the advisory bodies.

5. Realign Fiduciary Roles

GOALS: ALIGNMENT & NIMBLENESS

Governance would consist of a Board and an Assembly. Each

has a fiduciary role for separate areas of responsibility, with the Board assuming the oversight role for APA's organizational operations (e.g. publishing, membership), fiscal decisions and related business policies and Council retaining responsibility for the development of policies involving the field of psychology as it intersects with APA's mission (e.g. establishing policy, applying scientific research to public policy topics, developing policy regarding the discipline, setting accreditation and ethics standards). This potential division of fiduciary responsibility is made possible by recent changes in the law of the District of Columbia.

The Assembly's primary role would be to identify, deliberate and develop policy around significant issues of psychology. The Board would have fiduciary authority over fiscal matters including oversight of the strategic plan; the hiring, evaluation, and compensation of the CEO; policies related to organizational issues (e.g., membership, publications, convention, divisions); and collaboration with external organizations. The Board would no longer serve as the Executive Committee of the Assembly, a role that would be assumed by the Assembly leadership team. In addition, the Board will continue its role as the governing body for the 501c6 companion organization (the "c6") for now.

Collaborative governance methods would be used to facilitate the Board and Assembly interaction. For example, each body would accept the consensus decisions of the other unless a specific conflict arises. Using a pre-defined process, when discipline policy involves financial implications or there is conflict between policy and legal / risk management concerns, differences of perspective would be negotiated.

6. Reconfigure Board of Directors

GOALS: ENGAGEMENT, ALIGNMENT & NIMBLENESS

This proposal is designed to increase the Board's direct connection to general membership and ensure crossover connection with Assembly leadership. Current structure and election of officers would remain the same. The size of the Board would vary depending on which Council option is selected with addition of seats representing the Assembly leadership team, plus the GGP recommended addition of a public member, thus the total target range for the Board would be 15-18 people.

- No change to President, Past President and President-Elect who are elected directly by the membership;
- No change to Secretary & Treasurer who are elected by Assembly from an open nomination process;
- APAGS Past Chair elected by APAGS members;
- Six Member-at-Large seats on the Board that are elected by all membership from an open nomination process (addressing the engagement goal and reflects 50% of the APA membership that is currently not involved in SPTAs and Divisions);
- Members from Assembly leadership team, elected by and from Assembly;
- Public member appointed by Board;
- No change to term limits or length of terms for Board members.

Although the majority of the Board's configuration and election procedures remain the same, there are two major changes proposed, each driven by the stated goal that the Board be in alignment with the systemic changes to the governance structure, which are aimed at increased strategic alignment and member engagement: (1) members-at-large to be elected by the

membership and (2) addition of Assembly leadership. These changes are a reflection of the new roles and responsibilities of the Board within the proposed repurposed system. Assuming the fiduciary roles are divided as described above:

- The Board will no longer simply be the executive committee of Council, and thus it has increased responsibilities to represent the public interest.
- Member engagement is accomplished by opening up the governance process to greater participation from the entire membership both on the Board and in the election process, including the opportunity for those members not currently represented on Council to have a voice in governance.
- The pool of candidates for the Board will no longer be limited to those currently (or one year removed) from Council service.
- The two governance bodies will need to work collaboratively, so overlap of Council leadership with the Board is critical.
- The addition of a public member allows the Board to add needed outside expertise and is consistent with governance best practices nationally.

Needs Assessment and Slate Development: An Open Nomination Process

Because members-at-large on the Board are no longer selected by or from the Assembly, a new process for selection is needed to fill open Board seats. A committee (composed, for example, of a Past President, two members selected by the Board and six members selected by the Assembly) would conduct a *broadly informed needs assessment* based on the remaining Board members' competencies and demographics, meeting the strategic plan, and including emerging areas of candidate expertise needed. Based on this needs assessment, a description of the qualities and characteristics needed to create a *balanced board* would be constructed, using a three dimensional grid, with the dimensions representing the major areas of the discipline, diversity in all aspects, and emerging needs. The criteria are subject to review and approval by the Assembly, followed by an open nomination process and final development of a three-person slate for each open seat on the Board based on individuals' alignment with the specified criteria.

The process ensures a review of what is needed by the Association at each election cycle and helps the Board to remain responsive to future leadership needs. More detail on how this process might work can be found in the FAQ section of this report.

Checks and balances

Care was taken to build an open and transparent system with internal "checks and balances". Those internal controls include: a committee appointed jointly by the Board and Assembly, with the Assembly having six of nine seats; restriction of appointees to those truly committed to service (unable to hold other governance positions for 6 years); Assembly has input into candidate criteria; and Assembly Leadership team has authority over final slates. To ensure the most qualified candidates are willing to run, campaigning is severely limited and accompanied by Association sponsored member education about candidates and positions.

7. Assembly Structural Options

GOALS: ENGAGEMENT, ALIGNMENT & NIMBLENESS
Three alternative approaches are presented to the Board for

consideration. Each successive approach represents a more significant level of restructuring.

7A. Structure of current Council retained in the Assembly: This approach would institute significant functional changes (1-6, above) while retaining current structure. It would add an Assembly leadership team, elected by the Assembly, to help manage work flow, develop mega-issue topics (triage function), and to serve as liaison between Assembly and Board. In addition, it would guarantee an independent voting seat for an APAGS and an ECP representative. This option results in the Assembly focusing on issues without modifying its current structure. While still a large body, functional changes suggested should increase its effectiveness and nimbleness. This option incorporates a formal reassessment after three years to determine if the current structure continues to be appropriate fit for the strategic direction of the Association.

7B. Structural modification of existing system to reduce size while adding new perspectives:

This model reduces the size of the Assembly while creating space for valuable input from those who currently have no mechanism for governance engagement; reduces the size to 134-139; and is designed to support a process that is more issue focused.

- One vote per organizational unit (divisions and SPTAs) decreases these seats to 114 while retaining a vote/voice for each existing entity;
- Additional 20-25 seats for other perspectives such as Chairs of major advisory boards, CAPP representative, diversity representatives (possibly Ethnic Minority Psychological Association representatives), ECPs and APAGS, and affiliated organizations representing academic, training and scientific perspectives of the discipline (this could include regional psychological associations, academic leadership such as COGDP and education/training leadership such as CCTC). Five to ten of these additional seats would be elected by the general membership as Members-at-Large to provide access to governance for the 50% or more of the APA membership who are not Division or SPTA members.
- Assembly leadership team to manage the work flow.

7C. New structure. Creation of the Assembly of Psychology: an issues-focused, "pillar" based model. Moves away from a representational model to a model organized around the strategic focus of the Association. This model acknowledges data collected by GGP that found there was a broad agreement on the need for radical change in the governance structure of the c6 and acknowledges an advocacy focus is important in the 501c3-based Assembly (the "c3"). There are a total of six pillars proposed:

- Five pillars based on the APA mission; 15 seats for each (Education, Science, Public Interest, Practice, and Health);
- An Advocacy pillar; 15 seats for individuals with broad-based advocacy knowledge, skills, and experience with both c3 and c6 advocacy perspectives (e.g., SPTA representatives drawn from each of the 10 federal regions and one from Canada plus CAPP and EdAT representatives plus representatives from Science and Public Interest communities with c3 or c6 advocacy experience.)
- Seats within each of the six pillars will be balanced by diversity (demographic and career level) and emerging issues as described further in the body of the report;
- Assembly leadership team to manage the work flow.

GOOD GOVERNANCE PROJECT

REPORT TO THE APA COUNCIL OF REPRESENTATIVES

Based on the APA's Strategic plan, the purpose of the Good Governance Project was to conduct a detailed review and recommend changes that would *maximize organizational effectiveness of APA governance by assuring its practices, processes and structures are optimized and aligned with what is required to thrive in a rapidly changing and increasingly complex environment.*

BACKGROUND

History of Governance Change

- APA has a long history of dissatisfaction with its governance structures that has led to numerous evaluation efforts and ideas for needed change, most of which have never received the support required for implementation.
- When APA's first ever strategic plan was adopted in 2009, it was determined that APA, like other well-led organizations, must assess its current governance practices to assure that the Association's governance practices align with the strategic direction of the plan and are the practices and approaches required to ensure future success.
- Previous efforts had been conducted by a series of task forces, work groups and a blue ribbon panel, composed solely of psychologists.
- Hoping to avoid repeating this 100 year history of truncated attempts to revise its governance, the Association leadership, through the Board of Directors, sought expert outside advice and consultation to work with a team of psychologist, The Good Governance Project Team (GGP) set out to broadly assess and understand fully, and with unvarnished clarity, the current status of APA governance. With data in hand, GGP then moved forward to build an evidenced-based agreement and recommendations for change.

Project Inception and Board Oversight

The Good Governance Project was conceived in response to the new strategic plan Goal #1 to "Maximize organizational effectiveness" and the objective to "Optimize APA's governance structure and function." The project, which is overseen by the Board of Directors, was formally launched in October 2010 at the APA Board meeting in Philadelphia when consultants from Cygnet Strategy engaged the Board in thinking about the design of the project and defining the following key elements of success:

- Broadly inclusive of all key stakeholders
- Clear timeline
- No assumptions about outcome
- Based on good data and analysis
- Aligned with APA mission, vision and values
- Consistent with 501 c(3) status
- Aligned with budget process

- Continuity of project team through completion of project tasks
- As transparent as possible
- Communication continual and understandable, sharing information as created
- Considers both the business enterprise and membership sides of the organization

Since that initial meeting, representatives of GGP have regularly meet with the Board to update them on progress and to elicit their input into the project's direction. The Board has also engaged in longer dialogues on the project at three of its recent retreats and in June of 2013 reviewed the GGP report and recommendations to formulate their own response to the report and decide how to bring the recommendations for change forward to the APA Council of Representatives.

Project Steps (see Appendix page 22 for additional detail)

1. Broadly solicit input from relevant stakeholders
2. Identify environmental trends internally and nationally relevant to governance
3. Research and consider governance best practices and models being used successfully by other organizations
4. Discuss with APA governance leaders the findings from the above three items and the implications of which, if any areas should be considered for strengthening and/or reshaping APA governance function and structure

Based on those initial findings as presented to Council:

"Council voted to receive the [initial] Report of the Good Governance Project (GGP) Team and request that the GGP move forward with the next phase of the project by bringing specific proposals back to Council for a vote at its August 2012 meeting. The proposals are to be based on the report findings and the priorities identified by Council at its February 2012 meeting." Council Minutes, February 2012

5. Develop a set of data based governance change options ranging from Incremental Change to Moderate Change to Clean Slate
6. Engage in a series of feedback loops with Council and other key groups with two questions in mind:

- a. What is the best approach to governance for the future of psychology as a discipline, for our members, for our organization, and for the public?
- b. What is the level of change needed for APA to achieve maximum effectiveness in the 21st Century in concert with our strategic direction?

- Responses, in general, expressed parochial views, filtered through constituency lenses.
- APA governance is perceived to be a closed and political system. There is dynamic competition for leadership positions and recycling is commonplace. There is widespread discouragement among those who seek to enter leadership roles.
- There is a lack of process for identifying priorities, determining what needs to be addressed, by whom and how quickly. All issues seem to be handled as “One Size Fits All.”
- There is frustration about governance, as well as hope for change. This is accompanied by a desire to “not lose anything.”
- The various parts of governance are not yet aligned with the strategic plan. There is a striking omission of reference to the strategic plan in motions and policy discussions.
- While decision makers often have ample data, they do not always have the knowledge needed to make sound decisions, e.g. budget decisions.
- Speed is generally related to level of involvement, i.e. the Executive Management Group (EMG) can be nimble, the Board takes a bit more time, and Council is slowest of the three bodies.
- Lengthy meeting agendas are perceived as preventing strategic focus and meaningful dialogue.
- There is sequential revisiting of decisions by many governance groups.
- Younger members appear frustrated with the system and potentially unwilling to “go through the hoops.”
- While none of the respondents ever mention trust, the data suggests people do not trust decisions unless they -- individually or as a group -- have participated personally in the decision-making.

Following extensive discussion leading up to and at its next meeting in August 2012, Council then approved the following motion:

“For the next phase of the Good Governance Project (GGP), Council requests more details about ways of implementing possible new governance models that reflect the Council’s interest in both the moderate change and clean slate scenarios. An essential component of these details will be addressing appropriate checks and balances. Among the other elements which should be included are:

- *Composition and selection of competency-based governors, e.g., communities of interest, broadly representative, “ad hococracy”;*
- *Decision management processes, e.g., triage systems, delineation of internal and external policy accountability, including financial;*
- *Use of technology, e.g. to increase direct member input, streamline governance functions, increase involvement from key stakeholder groups.*

Council’s input will be solicited in development of design concepts to be reviewed in February for final approval in August 2013.” (Council Minutes, August 2012)

7. GGP then developed preferred options in more detail to discuss with Council at its next meeting in February 2013.
8. Informed by feedback from Council and others, GGP then worked closely with the Board of Directors to develop a set of change proposals arising from Council’s prior iterative feedback and in the best interests of the association.

WHAT WAS LEARNED

From the data collected GGP found evidence that those involved in APA’s governance – both volunteers and staff – care deeply about creating a governance system that builds on APA’s current strengths and rich history. Overarching support was voiced to go forward to address the complex challenges of today’s shifting environment, boldly pursue new opportunities, and be responsive to changes in member expectations and technological advances.

Data Highlights:

- There is general consensus that APA’s governance is a) complex, b) at times cumbersome, c) does not always result in timely decisions, d) provides an opportunity for everyone to be heard, which is seen as a great strength, and e) generally results in good decisions, albeit slowly.
- There is confusion and difficulty distinguishing between *engagement*, *enfranchisement* and *governance*.
- There is a general lack of clarity about who is responsible for what. This is true both organizationally and individually, and for volunteers and staff.
- There is little evidence of “accountability,” i.e., who is accountable to whom and for what.

GOVERNANCE VISION

The GGP goal, driven by the data, was charged to outline a way forward that (1) increases alignment of governance with the strategic direction of the organization, (2) enhances nimbleness and (3) increases engagement of all members, including a commitment to diversity. To that end, the following principles were developed to guide that process:

APA Governance Principles

To determine the best governance options for APA as it moves forward, the GGP team developed the following vision:

APA governance:

1. Is consistent with strategic direction and provides oversight for the organization’s strategic plan
2. Is fair in its functioning and engenders the trust of members and of the public

3. Is transparent, timely, flexible, nimble and planful
4. Reflects the diversity and variety of voices that comprise psychology as well as the diverse areas of expertise of membership that carry out APA's mission
5. Actively engages members at all stages of their careers
6. Has appropriate checks and balances built into the system
7. Allows for adaptation based on periodic review, self-evaluation and revision

The proposals put forth by the GGP are based on the following key drivers for change:

1. *ALIGNMENT: Aligning efforts and initiatives of APA Governance with the strategic plan*
2. *DIRECT ENGAGEMENT OF MEMBERS – technology making it possible for members to connect directly to governance rather than designated representatives being the only option and maximizing the opportunity of all members for involvement in governance activities*
3. *NIMBLENESS: The ability to act on opportunities and threats in time to be relevant*

GGP has laid out a systematic strategy of change describing multiple elements that together lead the Association to achieve these three primary goals. Although most change proposals can stand alone, the more changes incorporated into the final governance system, the more powerful the impact. The proposed change sequence includes the following seven major elements, beginning with those that are most likely to attain early consensus. All levels assume there will be a Board-like body (Board) and a Council-like body (Assembly).

PROPOSALS FOR CHANGE

1. Enhance Use of Technology

GOALS: ENGAGEMENT & NIMBLENESS

Effective use of technology will enable governing bodies to manage their workload throughout the year, address routine decisions on an ongoing basis, and maximize the time available for dialogue when face-to-face. It also will help inform not only their decisions but will help keep members apprised about both the what and the why of governance actions.

There are four main areas, then, where the integration of technology will improve the governance system:

1. Expansion of opportunities for communication with and learning about governance by members;
2. Addition of general membership's viewpoints into deliberations;
3. Increased opportunity to do the work of governance between face-to-face meetings;
4. Increased transparency and communication about the activities of governance for both those in governance and the general membership.

1. Enhance the Use of Technology

2. Leadership Pipeline & Development

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Here are examples of how these can play out in a new governance system.

Opportunities for Communication and Learning

- Advance preparation for face-to-face meetings can be done virtually (e.g., leadership planning meetings, instruction in background materials needed for mega issue discussions, question and answer sessions (known as Virtual Town Meetings) about complex materials, etc. on which either the Board or Assembly will be making decisions
- Broadcasting Leadership reports to the Assembly in advance rather than using face-to-face time
- Sub-committee work between sessions
- Virtual Assembly meetings in place of only face-to-face meetings to handle more routine matters or address a time sensitive issue
- Online diversity education
- Online leadership development training

Addition of Members' Viewpoints

- Regular online surveys of members' views about general or specific issues
- Quick member surveys just prior to meetings on key topics to be discussed
- Use social media for two way, real-time communications during meetings (blogging, Twitter, polls, etc.)
- Engage members in environmental scans to "capture the pulse" on emerging issues
- Use of iterative approaches to build member consensus on issues
- Outreach to individuals as well as organizational units for feedback (SPTA's, divisions, other affiliated groups)

Increased Opportunity to do the Work of Governance

- Use of virtual workgroups of the governing bodies or task groups appointed by the governing bodies to move the decision making process forward through a variety of mechanisms such as “Base Camp” or “Google Docs”-type virtual discussions and co-creation of reports and documents and other iterative exploration of ideas or development of recommendations for decision at a subsequent face-to-face meeting.

Communication about the Work of Governance

- Live video streaming of appropriate meeting elements (e.g. presentations, speeches, etc.) to members and/or the public
- Webinars to educate members about mega issues and discussion outcomes, before, during, and/or after Assembly action
- Real time information sharing, including not only what but why decisions were made

Some issues to be considered:

- Leaders in governance will need to have a basic technological competence to serve effectively. Technological competency is likely to be an essential skill to be considered for a national governance role. Technology training may need to be incorporated into orientation and into ongoing leadership development work.
- The significant expansion of technology in governance may require additional staff support
- The workload for staff supporting work groups will also increase and will need to be accommodated. Staff will need to receive adequate training to ensure technological competence.

It is presumed that the Board and the Leadership Team of the Assembly will use this recommendation as a guide for considering the strategic use of technology as they plan the work of the respective bodies.

Rationale:

The data from Council members was very clear that increased use of technology was important to any changes moving forward, both to improve efficiency and to increase access to and engagement with members.

2. Leadership Pipeline & Development

GOAL: ENGAGEMENT

The purpose of a leadership development initiative is to open up opportunities for participation in leadership training; to increase member engagement in governance beyond those elected to the Assembly; to nurture a culture of continuous learning for existing leaders; and to help prepare psychologists for leadership roles outside of APA.

Organized as a volunteer/staff collaboration, GGP envisions an ongoing, year-round process requiring an APA central office infrastructure to support this recommendation.

Candidates could come from multiple sources including:

- Self-nomination
- Peer nomination
- Nominations from current leaders
- Identification from existing leadership programs

Among the methodologies to consider are:

- Inclusion of ‘real work’ related to the strategic plan as a part of the training
- Providing the opportunities to shadow current leaders
- Integrating technology for initial training modules
- Offering online training modules to any member interested in APA governance
- Rotating training initiatives geographically to expand opportunities to connect with potential leaders
- Providing continual learning experiences for existing leaders
- Varying the training across multiple levels, e.g. first time exposure, those new to governance but not new to leadership, emerging or future leaders

Rationale:

A leadership development program addresses multiple needs identified in the assessment phase: adding fresh faces to leadership; bringing the next generation of leaders into governance; ensuring governance remains current with best practices; promoting diversity among leaders; and engaging members more broadly.

3. Triage System

GOALS: ALIGNMENT & NIMBLENESS

Triage is designed to evaluate governance agenda issues by considering their level of significance to (1) the organization, (2) the public, (3) the discipline, and (4) APA members. The triage process then determines the level of engagement and complexity required to sufficiently address a given issue and decide on a course of action (that is, whether the issue requires the attention of the governance system or not and, if so, where in the governance system the item should be addressed). The underlying assumption of this triage system recommendation is that some issues are more important and complex than other issues, with the former warranting far more attention and inclusive engagement than the later. The process also is designed to eliminate duplication of work on the same or similar issues by multiple bodies within governance in an often uncoordinated manner. A further dimension in the triage system is the degree to which speed is a factor in responding to an item or whether a more deliberate review is more appropriate.

The triage team, supported by APA staff, would receive and review all issues/items and will implement an effective decision-making process that refers issues/items to the appropriate group for timely handling. Some of the contributing factors for use in the decision process could be:

- Covered by the strategic plan or existing policy, or not?
- Time sensitive or time urgent?
- Of significant importance/impact to key stakeholders?
- Resource costly in human or financial capital?
- Covered in the current budget or not?

- Important to include multiple voices and perspectives or is it of interest to only one or a few “voices/perspective”?

Issues would enter the triage system from multiple sources but through a single portal in order to simplify and streamline the process. Issues might emerge from the external environment, members, advisory groups like advisory boards and committees or ad hoc groups of experts, from the Assembly, the Board, or staff.

Once an item is reviewed, the probable actions of the Triage Team might be:

- Refer item to a group or groups within APA. (GGP believes it is highly likely that working groups that cross areas of interest or expertise in psychology should be convened to ensure the full range of perspectives needed to address a given issue. Such an across-interest group would be an improvement on having several simultaneous but unrelated activities going on in different advisory boards or committees.) This is envisioned to include issues related both to psychology and issues from outside of psychology upon which the discipline might have an influence or interest.
- Hold items for more information or for a more timely moment to act. Or hold an item that does not appear to be in current alignment with the strategic direction of the organization for periodic review

An appropriate communication mechanism within the governance system must be established to ensure both transparency and check-and-balance.

Initial work has been done to identify the appropriate authorities to manage item-types across the organization based on the several models of Assembly structure that are presented in this report (see page 20). Once an approach is finalized for the governance structure, GGP recommends that a joint working group from the Assembly and Board should review and finalize those authorities and the resulting decision matrix for use by the Triage Team in the actual triage process. GGP envisions a “reformulation” of the current Agenda Planning Group comprises the President (as Chair), and the chairs of P&P, BPA, BSA, BAPPI, and BEA, CAPP, CODAPAR, COLI, and CSFC. Suggestions for revision include adding a representative from the Finance Committee and a member of the Assembly Leadership team (as described in section 4 below.)

See Frequently Asked Questions in the Appendix (page 17) for examples of how an issue might flow through the triage process no matter which governance model or models are ultimately adopted.

Rationale

Council was supportive of a triage system to manage the flow of items through governance designed to help focus alignment of organizational efforts with the strategic plan and to increase organizational nimbleness. The assessment identified as a central problem the fact that there is frequent duplication of effort, that items are reviewed by too many groups, and that there is no filtering or prioritizing mechanism. A triage system can address all of these concerns and improve the efficiency of work flow in the system.

4. Repurpose Assembly/ Realign Boards & Committees

GOALS: ALIGNMENT & NIMBLENESS

Based on data collected from the Council and Board, GGP proposes a repurposing of the Council, now referred to as the Assembly, to shift its function away from being a reactive body whose engagement is a relatively passive one, often at the end of the policy process, to a more active one engaged in meaningful work actually directing the discipline-focused policy development of the organization. That is accomplished by focusing the work of the Assembly on issues involving the *discipline of psychology*. These would be the overarching issues that need broader strategic perspectives across the entire profession of psychology. This also has the advantage of positioning the Assembly at the beginning of the policy formation process allowing it to help shape the deliberation. This includes ensuring that issues align with APA’s strategic interests and determining where best within the APA family the conversation should unfold to provide informed discussions for policy development. This repurposing and direction also should eliminate duplication of effort across the organization and encourage the creation of expert working groups reflecting a wide variety of perspectives. It will entail ongoing, strategic dialogue throughout the year and dedicated portions of Assembly meetings focused on specific issues that have been well documented with background material to support the policy deliberations. This then will mean that the Assembly will spend less time on agendas that preclude strategically driven discussions.

Because this repurposing of the Assembly is primarily a functional change, it can be accomplished with essentially no change in structure. GGP does offer structural changes below however that could enhance this repurposing and increase nimbleness and engagement. GGP does recommend that the Assembly elect a leadership team to help manage the new workflow and prioritize the work load that comes with this proposed shift to discussions of major topics as opposed to the current function of the Council that takes up whatever items happen to be next on the agenda. Mega issue discussions need considerable advance planning and preparation to be successful and thus this proposed repurposing accomplishes this function. See the Frequently Asked Questions section (pg. 17) of the Appendix for an example of how a mega issue process might work with a diverse body like the Assembly.

Realign Boards and Committees

Changing the role of the Assembly and Board has implications for the role and strategic alignment of advisory boards and committees, with potential overlap of responsibilities. Thus, GGP recommends preparing a clearly delineated collaborative functioning between these elements of governance.

Several recommendations are offered to help avoid role confusion and minimize duplication of efforts thus enhancing nimbleness\ efficiency.

- The Assembly is focused on the discipline as a whole;
- Advisory boards and committees center on specific areas of discipline—longstanding areas of subject matter expertise while focusing on and aligned those areas with APA’s strategic plan and with emerging trends for psychology that are relevant to their areas of focus.

- Advisory boards and committees serve as “expert panels” with a reporting relationship to either the Assembly or Board dependent on their purpose and function. Advisory Boards can be asked to:
 - Provide input via “backgrounders” for mega issue discussion at the Assembly;
 - Offer Assembly or Board requested opinions on policy matters that are being developed;
 - Suggest ideas for mega issue discussion at the Assembly, or;
 - Develop discipline wide policy within their areas of expertise that are forwarded to or developed in collaboration with the Assembly or Board for review and ratification.
- Advisory boards also have a support and advisory role working with relevant Directorates or APA staff offices and structures in the development and implementation of initiatives aligned with the strategic plan and/or emerging strategic trends; essentially the roles they currently play. The Assembly would generate some, but not all, of the work of advisory boards and committees.

GGP recommends that the details of accountability between the Assembly and Board and respective advisory boards be prepared during implementation of governance changes. Consistent with other recommendations, as part of the transition strategy, there are elements that will need to be negotiated between governing bodies and boards/committees as the new models are refined. Such a cooperative venture would ensure engagement in the process of governance change and appropriate checks and balance in the evolving function and structure of governance. (See also the Authority Matrix, page 20, in the Appendix.)

The above GGP recommendations assume that advisory boards and committees will have reporting authority based on their strategic responsibilities. For example, some advisory boards and committees would report to the Board (e.g., finance, ethics, publications) and some to the Assembly (e.g. content-based advisory boards). There are current “commissions” with external review responsibilities. Their autonomy of function should be reflected in their reporting lines and care taken to report ensure those roles reflect their mission (e.g., CoA, CRSPPP, CE, and even Ethics).

In order to ensure that the advisory boards and committees meet the strategic focus goal of the governance changes and maximize engagement of membership, GGP proposes that advisory Board members are no longer elected but instead are selected by their advisory boards and then are confirmed by their respective reporting bodies (i.e., Board or Assembly). To ensure broader membership engagement, nominations for consideration can come from any source, that is, an open call for nominations, self-nomination, from the Assembly, or the general membership. It is recommended that, excluding the chair of an advisory Board, no member of an advisory Board will serve simultaneously as a member of the Board or Assembly – once again, broadening engagement and ensuring members of boards are selected based on specific advisory board expertise. This recommended mechanism for choosing members of advisory boards is based on information and data received by GGP and reflects current practices where boards and committee create “slates” based on their intimate knowledge of the needs for expertise and diversity on their board.

Rationale

Major concerns expressed by Council members included the lack of meaningful work, the sense that they often rubber stamp work done by others, and that they spend too much time on the least important items but have no time to address the most pressing issues facing psychology. Changing the purpose and focus of this body addresses these serious concerns.

5. Realign Fiduciary Roles

GOALS: ALIGNMENT & NIMBLENESS

GGP is proposing that the Board no longer be the Executive Committee of Council (the Leadership Team would take on this role), but a separately elected body with a large portion of fiduciary responsibility for APA. At the same time, the newly created Assembly would retain fiduciary responsibility for the development of policy related to the discipline of psychology, a task best executed by a larger and more discipline-wide body.

Fiduciary responsibilities thus moved to the Board include:

- Financial/budget -- making sure resources are allocated and utilized appropriately,
- Hire, support and conduct an annual, formal evaluation of the CEO,
- Oversight of strategic plan development (with significant input and collaboration with Assembly) and execution of that plan (in concert with staff)—thus, keeping the plan up to date and align with organizational activities
- Internally-focused policy development
- Development of collaborative relationships with external organizations

The Board retains its role as sole governing body for the APAPO, for now.

This shift in fiduciary responsibility means that a review of Assembly items will no longer be under the purview of the Board; that review would reside with the Assembly and its Leadership Team, freeing Board time and expediting work flow by eliminating current mandatory review of items by the Board 30-45 days prior to Council meeting. Additionally, the proposed triage system also reduces the number of internal policy items that the Board has to review; some items could be finalized at a lower level in the system. The triage system would also assist in allocating items as “internal” or “external.” In those cases where the appropriate authority (Board or Assembly) may overlap, the two bodies would work collaboratively to negotiate a solution. The same collaborative relationship is required should the Assembly pass policy that has significant fiscal implications. See the Frequently Asked Questions section of the Appendix for an example of how “collaborative governance” might work.

GGP proposes that the Assembly have independent spending authority in order to carry out its duties (i.e., form work groups, bring in experts or initiate other activities needed to conduct its business.) Both groups would work with legal counsel to address risk management concerns in carrying out their respective fiduciary duties.

Rationale for Fiduciary Changes:

The shift to separate roles is proposed to meet two challenges: an acknowledgement that the size, complexity and risks

associated with APA's business interests have grown too great to be overseen by a large body meeting briefly, two times a year; and, the need to free up time for the Assembly to have deep and meaningful discussions of policy issues related to the discipline.

6. Reconfigure Board of Directors

GOALS: ENGAGEMENT, ALIGNMENT & NIMBLENESS

GGP recommends that the Members at Large be selected from, and elected by, the membership of the Association rather than from the limited pool that makes up the Assembly. Maximizing membership engagement provides more direct accountability of the Board to the general membership and includes the voices of members not belonging to SPTAs or divisions. As a result, the number of seats directly elected by the membership is expanded from the three existing seats (presidential roles) to nine by having six members-at-large represent the full membership. This system retains the election of both Secretary and Treasurer by the Assembly.

Rationale

Although the majority of the Board's configuration and election procedures remain the same, there are two major changes proposed. These changes are driven by the need for the Board to be in alignment with the systemic changes aimed at increased strategic alignment and member engagement: members-at-large to be elected by the membership and addition of Assembly leadership. The changes reflect the new role and authority of the Board; they are not a criticism of the performance of the existing Board with its current role and authority. The Board will no longer simply be the executive committee of Council, and thus will have "a higher calling" to represent the public interest perspective of the Association and, the full membership, and the breadth of the discipline. Member engagement is accomplished by opening up the process to greater participation from the membership both on the Board and in the election process thus including the 50% of the members not currently represented on Council. The Board will no longer be limited to those currently (or one year removed) from Council service. The two governance bodies will need to work collaboratively, so overlap of Assembly leadership with the Board is critical. This design permits a body smaller than the Council, meeting more frequently, to address the fiduciary responsibilities regarding the operations of APA; it eliminates duplication of effort between Council and Board; it encompasses the 50% of non-represented members through both the broader involvement in electing the Board and being able to run for the Board; and provides for greater transparency. The addition of a public member is recommended to allow the Board to add needed outside expertise.

Composition/Size

Size of 15-18

GGP recommends assigning a size range vs. specifying an absolute size of members of the Board. This provides flexibility and permits growth or other voices to be added if a need is identified in the future.

- 9 members elected directly by membership, drawn from general membership (3 Presidents, 6 Members-at-Large)
- 2 elected by Assembly to serve as Secretary & Treasurer (individuals drawn from general membership)
- Members of the Assembly Leadership team

- 1 elected directly by APAGS membership, drawn from APAGS members (APAGS Past Chair)
- 1 Public Member appointed by Board
- CEO in *ex officio* role

Terms and Term limits

No changes to any position: single three year term for all except Secretary and Treasurer who may stand for one additional three year term. APAGS and Assembly set term limits for their positions.

Rationale

Provides opportunities for interested members not part of the Divisions/SPTA structure to run for office (broadening member engagement); provides appropriate checks and balances in the make up of the board (membership input/Assembly input); enough seats to address the three dimensions of the vetting grid (the 5 pillars, diversity, emerging needs/trends; see next section); as a response to Council's feedback, up to 3 positions will be offered for each slate.

Selection/Election

The ideal Board should adequately represent the major aspects of the discipline, reflect the core value of diversity broadly defined and have the expertise to address the emerging issues facing the organization. It is unlikely that these outcomes can be achieved by chance. A process is required to accomplish the desired goals while being open, transparent and with appropriate checks and balances built in. To that end, GGP proposes a process for evaluating Board candidates for each slate that utilizes these three dimensions:

1. The disciplines of science, practice, public interest, education and possibly health are considered. Attention is paid to the c3/c6 issues in this dimension of the vetting process. This will be revisited as the c6 governance is clarified and evolves.
2. Diversity broadly defined, including career level
3. Emerging special topic or issue needs/expertise linked to the strategic plan

Use of this rubric is conceptual, not mechanical or formulaic. It is a model that evolves over time rather than being set in stone and which focuses on needed skill sets which may change. It is based on skills set vs. focusing on representation. The process supports a planful way of developing a slate of candidates rather than random one. It makes the overall process less focused on those who wish to hold office and more focused on the specific experience and skill sets needed. Annual reconfirmation of what the emerging special topics or issue needs/experts areas are is a central principle. The needs assessment involves broad solicitation of input. This process applies to all candidates drawn from general membership, including Secretary, Treasurer and President-Elect positions. APAGS and Assembly set their own criteria for selection.

Rationale

As potential candidates can now come from both inside and outside of the Council, bringing new faces into the system, broader fiduciary responsibility requires a more planful approach to identifying and selecting candidates to ensure the best possible mix of skills to address the issues facing APA in any given period. This rationale is based on the GGP's review of data collected from within APA and from a review of best practices for association governance nationally.

The Assessment of Needs and Slate Development Committee

The GGP recommends the establishment of the ANSD which will be responsible for a set of procedures for needs assessment, open nomination of candidates, and final development of the Board slates, (it is feasible this group might help identify some of the at-large Assembly positions as well, depending on model selected). The description here addresses the process for Board slate development. Built into these procedures is a checks and balance system that incorporates transparency, nimbleness, diversity, and the strategic needs of the organization. (See the Appendix section on how the ANSD concept might be applied to a Board slating process.)

ANSD Responsibilities/Process

Needs Assessment:

- Consider Strategic Plan
- Consider skills and experience that currently exist within Board leadership
- Broadly solicit input from sources such as the Assembly, existing Board, membership, experts, etc. regarding what is currently needed or missing in the current leadership, or will leave with a departing board member
- Data analysis, filtered by the 3 dimensions, of competencies and special expertise needed. Although not specified in the 3 domains of the rubric, qualified candidates would be expected to demonstrate leadership qualifications and/or experiences that would adequately prepare them for Board service.
- Creation of the criteria for candidates
- Assembly Leadership Team reviews and provides feedback to ANSD, which is incorporated into final call for nominations.

Slate Development

- Broadly distributed call for nominations advertised to all members
- Names come in from self or other nomination via an online application process that requests CV plus information on how candidate satisfies each of the specified criteria
- For each open seat, ANSD selects five equally qualified candidates who meet all criteria – three preferred candidates and two alternates, essentially the process now used for many board and committee slates. Slates are paired to ensure the resulting Board is balanced (e.g., ECPs slated against other ECPs.)
- The list of five is submitted to the Assembly Leadership team for ratification. If the Assembly cannot accept one of the three preferred candidates to be on the ballot for some defensible reason, it must select from the alternatives. All listings are confidential and only the final slate is announced.
- Campaigning for APA governance leadership positions will be managed via a clear set of standards. APA will actively promote access to candidate information via its media platforms, including videos, biographical information and position statements. In order to encourage broad participation from the best qualified candidates, new and severe restrictions on campaigning are imposed that include prohibitions against fund-raising, campaign appearances, and responding to individual division/SPTA/caucus interview questions. These prohibitions are designed to eliminate the intense

constituency-based pressures that feed an overly politicized, expensive and time-consuming process that current Presidential candidates, and some Board candidates face, and which create serious barriers to many excellent candidates who chose not to participate as a result of expense and aggressive time demands.

Rationale:

A transparent selection model, focused on a strategic direction allows feedback into both the needs assessment and the conceptual grid that drives the nomination process. The process ties in an overview for what is needed by the association at this time and in the future via the rolling, weighted conceptual grid, and increases engagement by the membership. Based on data from the GGP process, this proposed change sets limits on an election process that works against some candidates because of expense and aggressive time demands, and makes the choice of leadership less political and more based on defined needs of the association and profession.

Selection and Structure of ANSD Committee

Although slate development committees are considered a best practice for associations, APA governance has had no experience with this approach and considerable mistrust has been evident that it is not possible to construct a fair and open process. With those concerns in mind, GGP recommends that the ANSD Committee be developed on a trial basis and evaluated annually for three years, with the option to return to the existing system if desired.

In addition to the efforts to create a transparent, open and inclusive process as described above, GGP also recommends careful attention to the selection of those who would sit on the ANSD committee. The following rubric is suggested for the characteristics of ANSD Committee members:

- Leadership experience,
- Diversity (broadly representative).
- Broad knowledge of the organization
- Board understanding of the field of psychology
- Ethical with a high degree of integrity and fairness
- Balanced world view
- Good communicator
- Credible and respected among colleagues

The committee should be further structured to attract those who are truly dedicated to serving the organization. Committee members, thus, would be prohibited from running for/serving on any APA governance office (Board, Assembly) or any advisory board or committee while on the ANSD committee or for three years after service (6 years total).

ANSD Committee structure

Nine people

A Past President

2 people selected by Board but not from the Board,

6 people selected by Assembly but not from Assembly

Although all candidates are selected with the above criteria in mind, through its 6 appointees, the Assembly is ultimately responsible for ensuring that the committee is appropriately balanced, especially with regard to diversity.

Rationale: Provides the Assembly responsibility for overseeing the process, to help build their support and overcome concerns about too much concentration of power.

Service

One 3-year term (eventually will be staggered terms following transition process)

Rationale

A check and balance to the concerns about “king-makers”. The implementation stage will need to develop a process that identifies potential candidates in addition to the option of self-nomination to this body. This would apply to the ANSD candidates from both the Board and Assembly.

7. Assembly Structural Options

GOALS: ENGAGEMENT, ALIGNMENT & NIMBLENESS

GGP is providing for consideration three approaches for the structure of the repurposed Assembly. All three alternatives include increased efficiencies through use of technology, managing routine and preparatory work between sessions, as well as heavy reliance on data for decision making. One model retains the current structure of the Council and two models provide variations to the structure. All three assume an Assembly leadership team that includes some voting seats on the Board. Board members serve as ex officio members of Assembly.

7A. Structure of Current Council Retained in the Assembly

Composition/Size

Assembly retains all (162) current seats. Of those, two seats are set aside: one for an APAGS representative (separate from the APAGS seat on the Board) and one for an ECP representative, to ensure the inclusion of next generation voices.¹ An Assembly leadership Team manages the work of the Assembly. Members of the Leadership Team have voting seats on the Board of Directors. Board of Directors members are ex officio members of Assembly.

Selection/Election

Seats are filled by representatives from 54 divisions and 60 SPTAs according to the existing apportionment system. The APAGS and ECP representatives are selected through a process designed by their respective governance bodies.

Role/Responsibility

The primary purpose of the Assembly (a mission-driven function) is to identify, deliberate and develop policy around significant issues of psychology. The Assembly’s role is to set priorities related to such policy development based on alignment with the organization’s strategic direction or emerging threats/opportunities. Assembly leadership works with other elements of governance to support strategic alignment.

Under the guidance of the Assembly Leadership Team the group can use technology to react quickly when needed through the use of virtual discussions groups, Assembly and general member polling.

The Assembly can also use technology to increase its contact with the membership, to allow for direct member input and in some models, direct member participation in governance.

¹ Note that 3 SPTAs have failed to fill their seats in the past year+. Also note that the unofficial count is closer to 200, counting select board and committee chairs and EMPA representatives who are invited to attend.

Rationale

This first option was focused on creating maximum functional change instead of structural change. With the other changes proposed in steps one through six of this report, the body still can improve alignment, nimbleness and engagement. The Assembly Leadership Team helps to manage new work but also can help to act as catalyst for additional change. This option incorporates reassessment after three years to determine if current structure continues to be appropriate fit. While still a large body, changes suggested should increase its effectiveness and nimbleness.

7B. Structural Modification of Existing System

Composition/Size

- 1 unit/1 vote for divisions and SPTAs (114 seats) on current Council
- 20-25 additional seats for other perspectives (all voting members), e.g., Chairs of advisory boards, CAPP representative, diversity representatives (possibly EMPAs), ECPs and APAGS, and affiliated organizations, academic training perspectives, scientific perspectives and members at large that might include regional associations, COGDP, CCTC. Included also would be 5- 10 seats for members-at-large elected by those who do not belong to either SPTA or division.
- Total size would be in the 134 – 139 range with cost savings from reduction in size going to Assembly budget for seed money for projects
- Assembly Leadership Team manages the work of the Assembly. Members of the Leadership Team have voting seats on the Board of Directors.
- Board members serve as ex officio members of Assembly .

Selection/Election

Current organizational structure would continue (54 divisions and 60 SPTAs) but each unit would have one seat/one vote. The apportionment ballot would be discontinued and would be replaced with a process to enfranchise those who belong to neither type of unit to fill the new members-at-large seats, a clearly stated Council goal as reflected in the data. It is recommended that the Assembly implementation planning group would be responsible for determining the details of that process. Affiliated organizations would be responsible for developing their own process for naming those individuals to serve on the Assembly in their designated seats.

Role/Responsibility

Repurposed as above.

Rationale

A number of different elements support this plan, including:

- Board members serve as ex officio members of Assembly;
- This structure reflects the goal of alignment with strategic plan;
- It invites to the table those with valuable input for the discipline-focused conversations on significant issues;
- There is a reduction in size to 134-139 supporting nimbleness and cost-savings;
- It supports the repurposing move toward an issue focused agenda;
- Positive support for 1 vote per unit concept was seen at the February 2013 Council meeting;
- The majority of units only have one seat, so there may

be less resistance than anticipated to such a change.² Providing a model that offers increased voices from across the discipline [engagement] may be an attractive trade-off, and of particular value as the Assembly moves to an issues focus.

7C. New structure: Six Pillar Model

This model for the repurposed deliberative body that focus on big issues of the discipline has a redesigned structure that mirrors the major components of the discipline per the mission statement and strategic plan: health, science, practice, public interest and education, and adds a sixth pillar focused on advocacy.

Composition/Size

- 15 delegates from each of the five mission areas (education, science, public interest, practice, plus health = Five “pillars”)
- An Advocacy pillar (sixth pillar); 15 seats for individuals with advocacy knowledge, skills, and experience (e.g., SPTA representatives drawn from each of the 10 federal regions and one from Canada plus CAPP and EdAT representatives, and representatives from Science and Public Interest communities with c3 and c6 advocacy experience). This option is based in part on the need for significant change in the governance structure of the c6. The Advocacy pillar might be a placeholder for SPTA roles until such change occurs in the c6. This reflects GGP’s meeting with CAPP to share GGP information about suggested changes to the APA c3 governance structure per its charge and to better understand CAPP and the c6 issues regarding their current work to redesign the c6 and its relationship to CAPP.
- Total size=90; supporting nimbleness and engagement
- Assembly Leadership Team manages the work of the Assembly. Members of the Leadership Team have voting seats on the Board of Directors. Board members serve as ex officio members of Assembly.

Selection/Election

A process for identifying candidates for each pillar should be developed and might be based, at least in part, on the ANSD committee rubric for the Board, as presented above, to ensure diversity, inclusion of members at large, etc. Candidates might be selected through some combination of member election and appointment either by the Assembly, the Board and or the advisory bodies that reflect the key mission elements of each pillar, with “candidate” names generated through an open nominations process [engagement, transparency, checks and balance]. It is anticipated that the divisions would be active participants in making recommendations for membership in the five major pillars, whereas the SPTAs obviously would be engaged in selection of the Advocacy Pillar via federal regional positions.

GGP suggests consideration of this schedule for the Assembly: The Assembly might meet three times a year:

- At the Spring Consolidated Meeting: 1.5 days in Plenary – focused on generating and fleshing out policy issues; if timing could be managed, they might also spend time in “advisory sessions” meeting with the appropriate Advisory Board for each pillar – supporting nimbleness and enhancing communication within and across pillars
- Late summer meeting at the Convention – focus on

approving policy

- At the Fall Consolidated: 1.5 days meeting with appropriate Advisory Board and 1.5 days Plenary – focus on implementing policy

Rationale

The “pillar model” is designed to maximize alignment with the APA strategic plan, invites “to the table” those critical for carrying out the c3 mission and reduces size of the Assembly to 90 to maximize nimbleness. Moves away from a representational model to a model organized around the strategic focus of the Association. This model acknowledges data collected by GGP that found there was a broad agreement for the need for radical change in the governance structure of the c6 and acknowledges an advocacy focus is important in the c3 bases Assembly. As part of its due diligence, GGP met with CAPP and understands that the structure the of c6 is currently under review and is yet to be determined. Thus, GGP recognizes both the role of c3 and c6 advocacy and has constructed the Advocacy Pillar such that some portion of that pillar might be a placeholder for SPTA roles within the evolving c6 companion organization until such change occurs in that organization. The selection and election process for this model will be determined by the Assembly as part of its implementation planning. The final plan should encompass diversity and engagement of unrepresented members focusing on balanced representation. The Assembly would be tasked with defining the selection/election process.

General Recommendations relevant to all Assembly options:

- Members in all models will require education and training for their new roles/expectations
- There is value in having a separate budget for the Assembly to support some of work of this body
- Technology generated member engagement leading up to and during the deliberations of the Assembly in any of the models
- Focus of governance will be managed by simpler agenda books, presumes delegating some authority to boards/committees -- not everything needs to be approved by Board or Assembly if sufficient parameters are provided at the onset as to the roles of boards and their committees to discharge their responsibilities.
- Since Assembly will be the place that true “cross cutting” discussions occur, some issues may migrate to Assembly from the advisory boards for broader discipline focused discussion and implementation
- Whatever changes are made, they should be evaluated after three years

GGP recommends consideration of the following issues as part of implementation of any changes to the Assembly:

- Finalization of multiple elements across the change levels
- Develop a process for creating smaller working groups to prepare “backgrounders” on issues coming before the Assembly, relying on boards and committees as experts where appropriate
- Develop mechanisms to structure debate and making policy on issues (working both in plenary and working sessions)
- Incorporate technological mechanisms to engage members-at-large in the discussion, encourage direct input and to support the work of the Assembly between and during its meetings

² Allocation of seats in 2013 with total of 162 seats allocated: 82 units have 1 seat; 25 units have 2 seats; 7 units have 3 or more seats. (2 provinces and 1 territory chose not to have representation in 2013.)

COSTS

The following tables indicate the comparable annual budget for each of the possible governance configurations as compared with the current cost of operating APA's governance. While there is a projected cost savings in each of the Council restructure models, the intent of the proposed changes is to increase membership engagement, effectiveness and enhance nimbleness. These cost estimates are based on the status quo in terms of number of meetings for comparison purposes. Board expenses include honoraria for 3 Assembly leaders. Additional one-time start-up costs for training and equipment are estimated at \$53,900 (not included). In GGP's due diligence, it was learned that other associations have found ultimate cost savings due to implementing technological enhancements in governance after initial cost outlays for training and equipment. Any estimated cost savings are an added benefit.

Council Expenses (rounded to nearest \$100)

| ITEM | CURRENT | 140 MEMBERS | 90 MEMBERS |
|-----------------------|------------------|------------------|------------------|
| Meeting Travel | \$595,000 | \$510,000 | \$340,000 |
| Technology* | \$55,000 | \$100,000 | \$100,000 |
| Printing | \$ 24,300 | \$ 18,200 | \$ 12,100 |
| Total Expenses | \$674,300 | \$628,200 | \$452,100 |
| Savings | | \$46,100 | \$222,200 |

Board Expenses

| ITEM | CURRENT | PROPOSED |
|-----------------------|------------------|------------------|
| Travel Expenses | \$530,000 | \$558,000 |
| Meeting Expense | \$ 40,000 | \$ 43,000 |
| Honorarium | \$204,500 | \$255,500 |
| Equipment/Technology | \$ 16,500 | \$ 50,000 |
| Office Expense | \$ 1,600 | \$ 1,700 |
| Total Expenses | \$792,600 | \$908,200 |
| Increased Costs | | \$115,600 |

Costs for the Leadership Development Program assume a combination residential and virtual training program with both volunteer and staff trainers. Cost estimates are for a full year with an initial class of 20 and 5 volunteer facilitators, with three face-to-face class meetings and two planning meetings.

Leadership Program Expenses

| ITEM | PROPOSED |
|-----------------------|------------------|
| Meeting/Travel | \$111,500 |
| Telecom/Technology | \$7,000 |
| Honoraria | \$2,500 |
| Salary | \$80,000 |
| Assessments | \$4,000 |
| Printing/Supplies | \$8,000 |
| Total Expenses | \$213,000 |

EVALUATION PLAN FOR THE NEW GOVERNANCE MODEL

Inherent in this proposal to establish a new APA governance model is the expectation that an evaluation function to study any changes in governance structure and process will be included. This will help to determine whether the recommended changes produced the intended results. Simply put, after all this work, did the governance of APA actually improve?

The GGP recommends an evaluation process be developed by representatives of the Board, the Assembly and APA governance staff that will monitor the implementation of the new governance model and measure the effectiveness of the changes over a three year period. Further, the evaluation process should be based on the seven strategic principles underpinning any change in APA's governance structure and process. Again, those principles state that APA Governance:

1. Is consistent with strategic direction and provides oversight for the organization's strategic plan
2. Is fair in its functioning and engenders the trust of members and of the public
3. Is transparent, timely, flexible, nimble and planful
4. Reflects the diversity and variety of voices that comprise psychology as well as the diverse areas of expertise of membership that carry out APA's mission
5. Actively engages members at all stages of their careers
6. Has appropriate checks and balances built into the system
7. Allows for adaptation based on periodic review, self-evaluation and revision

In addition to collecting data related to each of these principles, GGP further recommends that emphasis be placed on:

- Obtaining member satisfaction data (regarding such matters as timeliness, transparency, etc.) related to APA governance.
- Obtaining data and information on the satisfaction of members who participate in APA governance (e.g., Assembly, Board of Directors) or as advisory to governance (advisory boards, committees)
- Determining the number of new volunteer leaders who participate in APA governance
- Determining the number of potential future leaders identified and engaged through the pipeline process
- Determine the effectiveness of the mega issues process in addressing critical issues in both an effective and time sensitive manner
- Identifying the number of instances the BOD and Assembly need to negotiate a decision; satisfaction with the outcome

For additional information on an evaluation process, GGP recommends the recent report by the Policy and Planning Board related to the evaluation of organizational effectiveness outcomes and the Frequently Asked Questions section of the Appendix of this report for information on how self-evaluation plays a role in the new governance system.

PRELIMINARY TRANSITION STRATEGY

While GGP understands that nimbleness is a key goal of the ultimate governance function and structure, it is clear that engagement of governance members and the general membership in the GGP process has been time consuming. GGP has been dedicated to an evidence based, step-wise process and thus the timeline to date, and the proposed time lines below, reflect that process.

While somewhat trite to say, "something good is worth waiting for," GGP encourages using this data and recommendations within the report to facilitate moving forward as rapidly and diligently as possible on an aggressively as possible timeline.

General Transition Steps

- Council Adopts Revised Governance System
- Implement communications plan to educate membership about change and potential Bylaws vote
- Finalize Triage system
- Determine roles and responsibilities of boards and committees relative to Board and Assembly
- Selection of technology platform for governance and implementation planning
- Job descriptions for Board and Assembly positions developed
- Selection of Assembly Leadership Team
- Develop ANSD committee
- Development of Leadership program

Bylaws Changes

Depending on the Council's final choices, the Bylaws may need to be amended immediately or there may be the option of a trial period for some elements, to be determined in consultation with the Office of General Counsel.

Board Implementation Steps

At the time of Council's vote, the election for 2014 Board members will have just occurred and the 2014 President Election will be underway. The earliest implementation date for the new system would be for 2015 positions and would require a Bylaws amendment to draw candidates from the general membership. For the transition period, GGP recommends replacing existing Board members as they rotate off with members elected under new system.

Board Configuration Steps

- ANSD conducts needs assessment for upcoming 2015 Board vacancies
- Develop criteria for upcoming positions based on 3-dimensional grid
- Criteria broadly disseminated; Open nominations period
- Slate development
- Elections for 2015 open positions
- 2015 new members integrated into the Board
- Assembly Leadership Team integrated onto the Board beginning 2015

Shift in Fiduciary Role Steps

- Board assumes responsibility for budgeting beginning with 2015 revenue projections and 2015 budget approval
- Assembly continues to have fiduciary role with respect to disciplinary policy
- Advisory boards and committees reorient and reorganize toward appropriate governance authority

Assembly Implementation Steps

Option #1. Keep current structure. Council elections would continue as before. Assembly can begin with most functional changes immediately. Two seats of 162 reserved for appointees of APAGS and ECPs to begin with 2015 terms. Assembly Leadership Team elected for 2015.

Option #2. 1 vote/ unit. Elections for 2015 open seats would be limited to one per unit; units with multiple returning representatives must designate only one. The apportionment ballot would not be sent in 2014 (requiring a Bylaws change.)

STEPS

- Selection/Election criteria for Open Membership seats to be finalized
- Define criteria for representatives, funding, etc. of affiliate organizations
- Finalize initial allocation of additional affiliate seats
- MOUs developed with affiliated organizations invited to participate in Assembly;
- Open nominations for Open Member seats
- Election of 2015 Assembly Leadership by existing Council from members returning in 2015
- Slate development for Open Member seats
- Advisory boards and committees submit preferred 2015 appointees to respective governance bodies
- Affiliated organizations to name their designated representatives
- Elections for 2015 for Open Member seats and incoming 2015 Division and SPTA representatives
- New Assembly seated in January 2015

Option #3. Pillars model. Selection of assembly would be lengthier process than either above, and the selection criteria needs to be resolved.

STEPS

- Develop selection/election process including criteria for selection
- Clarify roles and responsibilities
- Solicit nominations, develop slates and conduct election for coming cycle.
- Earliest implementation in 2015.

CONCLUSION

APA has considered governance changes many times over its history, but never has it undertaken such a comprehensive or iterative approach as the current GGP process. The report presented here reflects the input of hundreds of volunteer leaders and members, all wanting to ensure that APA functions in a manner that advances the accomplishment of its strategic plan and is supportive of a vision and mission focused on the public good as well as the interests of psychologists.

The Good Governance Project Team is grateful to have had the opportunity, as well as the challenge, of focusing on that task over the past several years. For a good part of that journey, GGP avoided reaching a conclusion about whether or not change was needed. As we gathered and analyzed the data, it became clear that strengthening governance will be essential for APA to continue to maintain its current position as a leading learned society. Whichever of the alternatives the Board and the Council choose to embrace, GGP is excited about the promise that a revitalized governance system holds for our Association.

Things do not change; we change.

-- Henry David Thoreau

FREQUENTLY ASKED QUESTIONS (FAQS)

How a Mega Issue Discussion Works

Mega Issues are issues of broad strategic importance to an organization or a profession that usually cut across multiple goals or areas of focus. Since the concept of mega issue discussions by the Council has attracted significant interest, here is how one might unfold: The Assembly Leadership Team selects topic X from a pool of suggestions that could arise from a variety of sources ranging from assembly members, the general membership, the Board, boards or committees, staff, other mega issue dialogues or strategic issues identified in the planning process. The mega issue discussion topic is refined to a specific open-ended question and a set of desired outcomes (specifically what we'll want to know about at the end of the discussion.) It is then referred to the appropriate advisory board(s), committee(s) or staff for development of background information. The backgrounder would incorporate the advisory groups' best thinking on the issues, including the current environment, the threats or barriers, possible solutions and the advantages/disadvantages of the solutions considered. The Assembly would take this information and through an interactive, deliberative process make decisions about the organization's next steps based on the background information. The result could take multiple forms: a decision about the direction of policy, a prioritization of the guidelines that need to be developed or an action plan for addressing an emerging challenge, for example.

How an Item Might Move Through the Triage System

We took several items from prior Council agendas and traced how those might move through the proposed system if there were a triage system in place. These are treated as the equivalents of "new business items" although proposals for governance activities could come from anywhere within the organization (e.g., an advisory board or committee, EMG or senior staff, a member, the Board or Assembly member.) In addition, a triage system can help appropriately direct items at the end of their journey through the system. The final details of the triage system will be dependent on the final elements of the governance system.

Item #1: Division 54 Journal Proposal: Practices and Services Delivery in Pediatric Psychology.

Division 54 initiated this proposal. The triage system would refer it to the Publishing and Communications Board for review and recommendation. Because journals (Publications) are considered to be internally related policy, the item comes under the purview of the Board. The Board could delegate authority for decisions to P&C when fiscal implications are under a pre-agreed upon threshold. In this case, if the implications were under that threshold, P&C would have authority to proceed without further Board involvement. The Board retains veto power.

Item #2: Recognition of Psychotherapy Effectiveness

This item was, by all accounts, an example of a dysfunctional

system. It was the victim of competing philosophies about its purpose and of APA's culture of inclusivity. In the end, it was a tortured process that produced a document that pleased no one. As policy relevant to the discipline, in the proposed system, it would be under the purview of the Assembly. With a triage system, there are two potential paths that it could take. One would be to send it to the Assembly as a mega-issue discussion to determine what purpose the policy is to play, and based on that purpose, what content and supporting research is relevant. The other path would be to designate the two to three groups that were most germane to the development of the policy (and ONLY those groups) to work together from the beginning to create a mutually satisfactory outcome that could then come back to the Assembly for final approval. In either choice, a planful approach to determining who was involved and how they were to be involved would be employed.

Item #3: Master's Level Education in Psychology

The Master's Issue has been debated for decades, and although there has been some recent movement toward a resolution, there is still much distance between positions. A triage system would send this item directly to the Assembly for a mega-issue discussion, the outcome of which might be a new policy or a clear plan of action such as an intra-disciplinary summit. In the event a backgrounder was needed, it could be prepared collaboratively by those groups/areas that have been working on this issue.

Item #4: Any CRSPP recommendation

It is estimated that 98% of CRSPP items that come before Council pass on the consent agenda, which raises the question of how to best manage output that rarely needs the attention of the larger body. A triage system would include a mechanism for review at a level lower than the Assembly, freeing the Assembly up to focus on the big issues. The same procedure could be applied to many of the excellent documents that are produced by the advisory bodies, including guidelines, task force reports, and resolutions.

How Collaborative Governance Might Work

The proposal includes dividing the fiduciary responsibilities between the Board and Assembly, with the Board handling fiscal and internal policy and the Assembly handling policy related to the discipline. It is predictable, however, that not all items will be so neatly categorized. Some policy items may cross into both realms; some disciplinary policy may have significant fiscal implications; or impact the organization more broadly (e.g. funding the internship stimulus package.) Some internal policy decisions may be viewed as major disciplinary policy shifts (e.g. eliminating all dues discounts, including the Canadian discount as a past example.) Assembly leadership would serve on the Board and the Board would serve as *ex officio* members of the Assembly, which helps to maintain a bridge and foster open communication between the two groups. When these situations arise, representatives from the two work together to negotiate a solution. It may, however, be necessary to designate a 'final authority' in advance for those rare occasions where an impasse arises, and/or use a pre-defined mediation process. Other

alternatives would be to agree that until a resolution is reached, it will be “parked;” with periodic reviews.

How Does Self-Evaluation Play a Role?

Governance best practices suggest that continuous improvement is necessary for effective governance and accordingly, the GGP is recommending that both the Board and Assembly regularly conduct self-assessments with an eye to strengthening their own working processes. This can be assigned to the group charged with the leadership pipeline or a separately identified working group, possibly P&P. Using the results of written assessments, the Leadership Team of the Assembly and the Officers of the Board would establish objectives for strengthening the operations of each body respectively.

MAINTAINING A BALANCED BOARD

The section of the report on the Board selection process refers to a three-part grid for assessing skills needed by candidates for the Board. These three areas are the center descriptors across the top of the grid. Reading down the left side are the Board positions both continuing and needing to be filled. The matrix provides a gestalt of the composition of the board ... thus, when there is a vacancy upcoming, the matrix can be used to review the Dimensions of Area, Diversity, and Competency to describe the types of individuals needed to maintain balance on the Board.

What follows is a hypothetical illustration of how the grid and assessment process could be used to surface candidates for the slate.

| Existing Board Position | Area of Psychology | Diversity | Special Competencies | Rotating Off |
|------------------------------------|------------------------------------|-----------------|---|--------------|
| President | Public sector practitioner | LGBT | Strong public interest focus | |
| President-Elect | Academic – history of psychology | Ethnic minority | Strong ethics focus | |
| Past President | Academic - social | | International experience | X |
| Secretary | Scientist - cognitive | | Governmental agency experience | X |
| Treasurer | Academic - neuroscience | | Experience as provost – working in large systems /large budgets | |
| Member-at-Large | Scientist - basic research | Ethnic minority | Leadership in multiple organizations | X |
| Member-at-Large | Counseling psychologist | LGBT, ECP | Social justice background | |
| Member-at-Large | Independent practitioner (retired) | | Extensive APA governance experience, active in advocacy work | |
| Member-at-Large | Independent practitioner | ECP | Innovative practice models | X |
| Member-at-Large | Consulting psychologist | | Specialist in leadership skills | |
| Member-at-Large | Forensic psychologist | | Something of a contrarian | |
| Member-at-Large | Public sector administrator | Ethnic minority | Extensive health care systems experience | |
| Positions selected by other groups | | | | |
| APAGS Past Chair | Clinical scientist | Ethnic minority | Research in integrated care area | |
| Assembly Leader | Training director | | Special interest in internship issues | |
| Assembly Leader | Bench scientist | Disabled | Long experience with publishing board | |
| Assembly Leader | Large group practice administrator | | Expertise with Accountable Care Organizations (ACOs) | |

Organizational Needs

Strategic plan continues to focus on expanding psychology's role in advancing health and increasing recognition as a STEM discipline. New goal to increase organization's global presence.

Analysis

Dimension A – Areas of Psychology: Board does not need to have an equal number of seats in each of the areas but wants to ensure they stay in balance. Next candidates should probably lean toward science and public interest more than practice and academia.

Dimension B – Diversity: Board is losing both an ethnic minority and ECP in this round. Want to ensure that there is sufficient diversity on the Board, so will work to fill at least one if not both of those categories. Currently there is a nice balance of both senior psychologists and those at the start and mid-point of their careers.

Dimension C – Competencies: The Board is losing some very strong leadership skills, an international perspective, expertise in governmental systems and an innovative thinker. Given the new strategic goal, global expertise is critical and should be at the top of the list. Strong leadership skills are always welcome and the group benefits from atypical thinkers, so these are traits to keep in mind. The expertise in governmental systems is a plus in the STEM area, but those skills are also available on staff.

Call for nominations would therefore emphasize the need for candidates with international perspective, health systems experience, scientific focus, government experience and early career. The vetting committee's challenge would be to find the appropriate balance among the possible candidates who come forward against these skill sets and to create slates that reflect that balance.

POSSIBLE APA CORE GOVERNANCE ROLES & AUTHORITY MATRIX

Along with building an efficient and nimble governance system, the desire for a clearly transparent system was repeatedly heard by GGP. The following set of governance roles and authorities document is adapted from the work of Fred Johnson and David Nadler, "Building Better Boards" (Harvard Business Review, May 2004). It is intended to be an example of how to clarify proposed relationships and degrees of involvement, input, and authority between and among various APA governing bodies, advisory groups and staff. Each area of responsibility includes a definition of functions and a set of decision definitions. Adopting such a set of rules will help with clarity of communication, nimbleness, and transparency within the governance system. It is expected that this matrix will serve as a basis for discussion by the Board and the Assembly during the implementation phase.

| Functional Areas Addressed in Examples | Governance & Advisory Groups |
|---|--|
| 1. Strategic Directions 2. Policy Setting 3. Allocating Resources & Financial Oversight | Assembly Board with Fiduciary Responsibilities Advisory Boards, Committees & Ad Hoc Entities |

Definitions of Decision Roles

| | |
|--|--|
| <u>FINAL</u> Decision-maker: | The group in the organization who has the authority and responsibility to make the decision. This person or group may seek advice or receive recommendations from others and should advise others once the decision is made. |
| <u>RECOMMEND</u> or provide input to decision-maker: | The group within the organization responsible for making a recommendation to the decision maker. This person or group may use other sources within the organization to study and develop the recommendation and may seek advice from other segments of the organization. |
| <u>CONSULT</u> : | The group is consulted prior to any decision being made or approval granted, to confer, render advice or provide information as appropriate. The person or group being consulted does <i>not</i> make the decision or grant approval, but their input is essential, valued and necessary to sound decision-making. |
| <u>INVOLVE</u> : | Select groups involved as relevant to the topic |
| <u>INFORM</u> : | Any organization segment that must be advised about a decision that is being considered or has been made. |
| A Decision Process Agreement | |
| <u>COLLABORATIVE Governance</u> | A broadly representative group is empowered to make a policy decision or recommendation via consensus process. This decision is sent to a final decision maker with the assumption that it will be approved without substantial change unless required by law or a conflict, in which case changes will be negotiated. |

How Authorities Could Be Designated

Examples of decisions in the strategic planning process, policy setting, and resource allocation are offered as examples of how the Board, Council, and Boards and Committees use the defined authorities vis-à-vis each example.

I. STRATEGIC PLANNING

| DECISION | Assembly | Board | B/C |
|--|-------------------------|-------------------------|---------|
| 1. Anticipate and Prioritize environmental Trends and Emerging Issues | Recommend collaborative | Final collaborative | Involve |
| 2. Set Strategic Direction for APA (c3) Related to Organizational Matters | Recommend collaborative | Final collaborative | Involve |
| 3. Set Strategic Direction for APA (c3) Related to Matters of the Discipline of Psychology | Final collaborative | Recommend collaborative | Involve |
| 4. Establish the Strategic Plan & Priorities | Recommend collaborative | Final collaborative | Involve |

II. POLICY SETTING

| DECISION | Assembly | Board | B/C |
|---|----------------------------|-------------------------|--------------------------------------|
| 1. Establish APA Internal Organizational Policy Related to Fiduciary Responsibility, i.e. Retirement Policy, etc. | Not Involved (may consult) | Final collaborative | involve (example: Finance Committee) |
| 2. Establish Policy Related to the Discipline of Psychology | Final collaborative | Recommend collaborative | Involve |
| 3. Establish Legislative and Regulatory Positions Related to c3 Only | Recommend collaborative | Final collaborative | Involve |

III. ALLOCATING RESOURCES

| DECISION | Assembly | Board | B/C |
|---|----------------------------|---------------------|----------------------|
| 1. Establish Budget Priorities | Recommend | Final collaborative | Recommend |
| 2. a. Develop Budget b. Adopt Budget | Consult | Final collaborative | Inform (may consult) |
| 3. Ethical Performance & Legal Compliance of Organization | Not Involved (may consult) | Final collaborative | Inform |

THE GGP PROCESS – STEPS AND RESULTS

You are invited to review the Good Governance Project data and reports leading up to the current GGP Report at <http://www.apa.org/about/governance/good-governance/index.aspx>

The GGP process followed several key steps:

Broadly solicit input from relevant stakeholders

“Key stakeholder” was defined as any person or group having a right to be involved or in a position to significantly support or block change. The Project Team identified key stakeholder groups and provided multiple opportunities for engagement including establishing an ongoing feedback loop throughout the GGP’s iterative process.

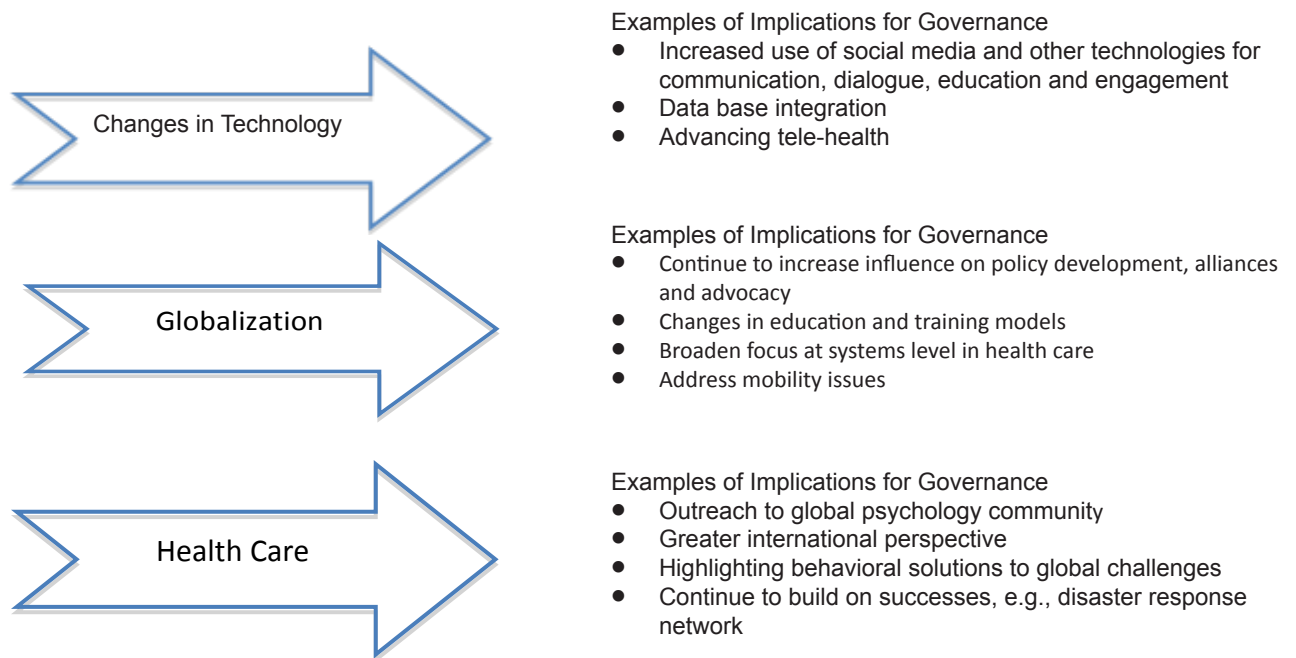
**Some SPTAs completed self-guided discussions

| OPPORTUNITIES FOR ENGAGEMENT | COR | BOD | EMG SR. STAFF | DIV | BDS | COMM | STAFF LIAISONS | SPTAS | APAGS | ECPS | OTHER ORGS | GEN MBRS |
|-------------------------------------|-----|-----|---------------|-----|-----|------|----------------|-------|-------|------|------------|----------|
| COR Plenary Input | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | |
| Guided Dialogues | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓** | | | | |
| Online Governance Assessment Survey | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ | |
| Facilitated Guided Group Discussion | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ |
| Independent Guided Group Discussion | | ✓ | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | |
| Telephone Interviews | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | | |

Identification of environmental trends relevant to governance.

THREE EXAMPLES FROM A LARGE NUMBER OF TRENDS/ISSUES

(From January 2012 GGP Report)



Future APA governance may need to:

- Be more forward and outward looking.
- Have a broader, wider, deeper perspective.
- Be visionary and pioneering – a place where real thinking is done
- Ensure that the best feasible data guides decisions.
- Be time flexible – faster when appropriate and more deliberate when needed.
- Include a process to Identify key issues that require thoughtful attention for the organization's governing body.
- Nurture and vet people for leadership to assure a *balance* of fresh, diverse and experienced perspectives in leadership.

Research and consider governance best practices and models being used by other successful organizations.

What is possible? Members of the Project Team think the following observations of what others are doing are worthy of further consideration in designing future APA governance:

- In a number of instances, large representative delegate bodies (those that have not disbanded large delegate bodies like COR) are repurposing to focus on governing major issues related to the discipline as a whole (two members of the Project Team observed this process in September 2011).
- Organizations are using a variety of face-to-face and virtual scanning mechanisms to obtain the knowledge, insights, experiences and opinions of others inside and outside the organization in order to enrich the decision knowledge base.
- Continuity of leadership initiatives is achieved through rigorous alignment with the vision and strategic plan, which transcends individual leader initiatives and themes.
- Organizational rather than constituency-based thinking and action is encouraged by constituting governing bodies to be 'representative of' rather than comprised of individuals 'representing' constituencies. In a 'representative of' model, individuals ensure that the perspectives of their constituents are reflected in the discussions but make decisions on behalf of the organization as a whole, versus deciding in the best interests of the constituency they are representatives for, sometimes to the detriment of the whole.

- Members of other successful associations clearly distinguish between governance and engagement and are meaningfully active and involved in a variety of ways unrelated to governance of the association.
- Increasingly, organizations are engaging non-traditional partners to discuss and address complex issues.
- Increasingly, leadership development, recruitment and selection are seen as an important component of effective governance.

streamline governance functions, increase involvement from key stakeholder groups.

Council's input will be solicited in development of design concepts to be reviewed in February for final approval in August 2013.

Options developed in more detail and discussed with Council – February 2013

Very specific feedback leads to refining and simplifying options.

Discuss findings on the “state of APA governance” and implications of what, if any, areas should be considered for strengthening and/or reshaping.

Discussed with CoR – June to August 2011 and February 2012 – MOTION:

Council voted to receive the Report of the Good Governance Project (GGP) Team and request that the GGP move forward with the next phase of the project by bringing specific proposals back to Council for a vote at its August 2012 meeting. The proposals are to be based on the report findings and the priorities identified by Council at its February 2012 meeting.

Using a design prototype approach to facilitate collaborative thinking, develop a range of alternatives with data based criteria and rationale for change

Discussion focused on:

- a. The best approach to governance for the future of psychology as a discipline, the public, our members, and our organization
- b. The level of change that is needed for APA to achieve maximum effectiveness in the 21st Century in concert with our strategic direction

Discussed with CoR – June to August 2012 – MOTION:

For the next phase of the Good Governance Project (GGP), Council requests more details about ways of implementing possible new governance models that reflect the Council's interest in both the moderate change and clean slate scenarios. An essential component of these details will be addressing appropriate checks and balances. Among the other elements which should be included are:

- Composition and selection of competency-based governors, e.g., communities of interest, broadly representative, adhocracy;
- Decision management processes, e.g., triage systems, delineation of internal and external policy accountability, including financial;
- Use of technology, e.g. to increase direct member input,

THE FRAMEWORK AND APPROACH

Working Definition of Governance

We began by defining what we mean by “governance.”

- *The (volunteer) units of the various levels in support of policy development,*
- *The relative powers, authorities and responsibilities that each possesses,*
- *The composition of each unit, and*
- *How individuals are selected to participate in them.*

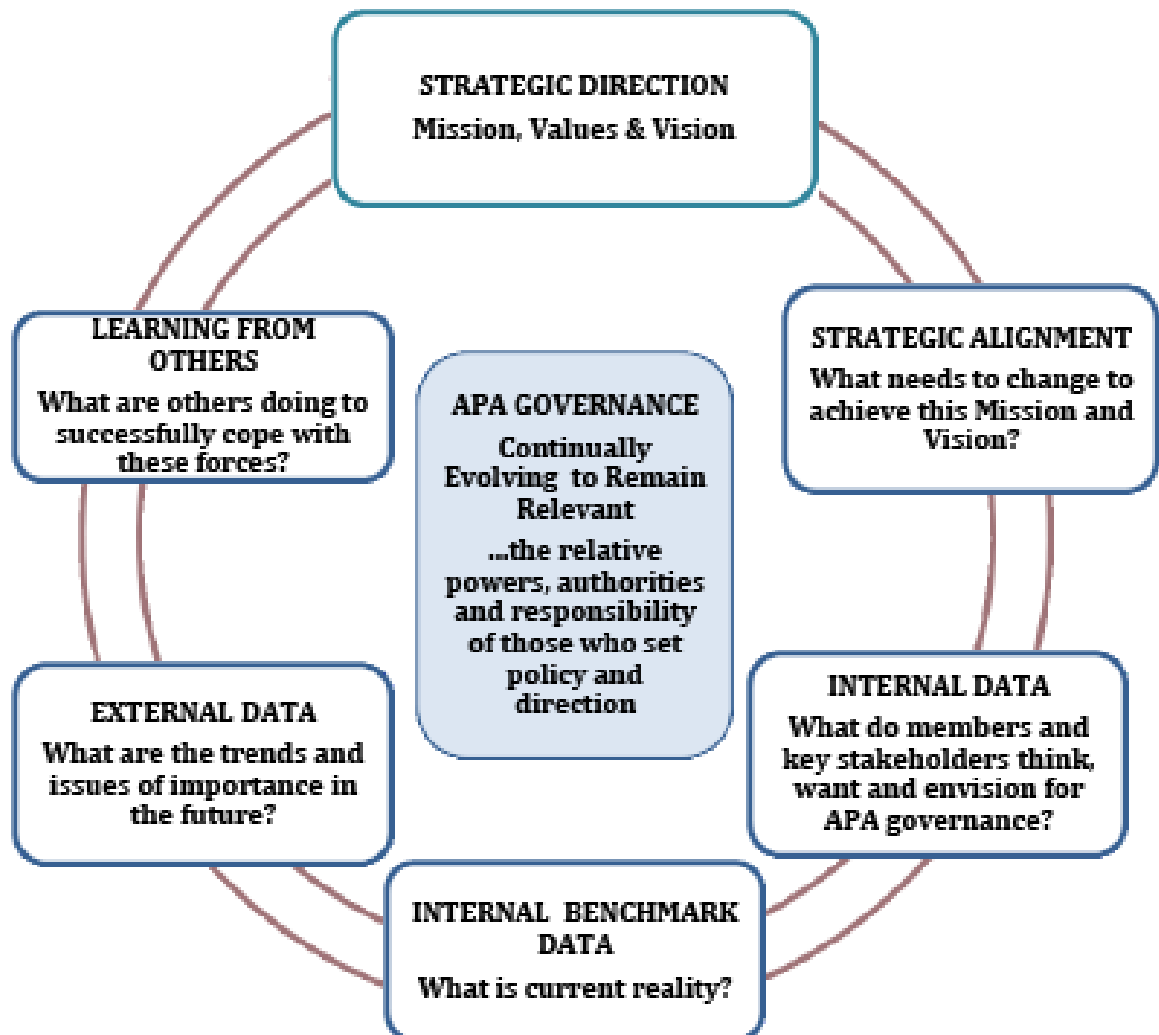
Dimensions and Progression of the Assessment

We considered and learned about 5 dimensions as we assessed how governance might need to evolve. Our recommended areas for exploration and proposals come from the intersection of these dimensions. We found remarkable repetition from one dimension to another.

Organizational Taxonomy

As the underlying organizing principle for thinking about the data we collected, we worked with a taxonomy that divides the elements of governance into 5 areas: (See next page for Taxonomy.)

1. Strategic Alignment
2. Structure and Process
3. People and Engagement
4. Roles and Relationships and
5. Culture, Behaviors and Rewards



TAXONOMY FOR GOVERNANCE ASSESSMENT

1. STRATEGIC ALIGNMENT

STRATEGIC ALIGNMENT. All parts of organization are operating in concert with agreed upon strategic direction of organization.

- Governance units are accountable to and aligned with the strategic plan
- People understand organizational priorities clearly enough to be able to make and execute decisions in a timely manner.

2. STRUCTURE AND PROCESSES

STRUCTURE. Structure helps – rather than hinders – in making the decisions and taking the actions most critical to success.

PROCESSES. Processes are designed to produce effective, timely decisions and action.

- Capacity to cope well in crisis or in rapidly changing environment
- Balance of inclusivity and timeliness to convert opportunities into value
- Soundness of decision-making processes: focus, knowledge base, use of time, speed, revisiting decisions, effective consensus building and implementation, transparency

INFORMATION. The people in decision roles have the information they need when and how they need it to make rational, data driven decisions.

3. ROLES AND RELATIONSHIPS

ROLES. Individuals and groups understand their roles and accountability in our most important decisions.

- Orientation to understand and fulfill responsibilities
- Fiduciary governance – budget, use of resources, assuring resources exist, authority at appropriate org levels
- Effective systems of accountability

RELATIONSHIPS. Relationships among governance parts, ensuring conflicts do not deter governance; constituent relationships.

- Volunteer-volunteer relationships – how these relationships work together to advance governance effectiveness
- Volunteer-staff partnership
- Role of staff – are senior staff members counted on to inspire, coach and lead, or is the emphasis on organizing and planning

4. PEOPLE AND ENGAGEMENT

LEADERSHIP. We are able to engage the best and most qualified people to positions where they can have significant impact.

- Development, recruitment and selection of leadership
- Balance of stability and innovation

REPRESENTATION. All constituent groups are appropriately represented in decision-making.

- Diversity
- Inclusivity

MEMBER PARTICIPATION. Members are appropriately engaged in the decision-making processes of the organization.

COMMUNICATION. Members have sufficient information to help them understand the work done on their behalf by the organization.

5. CULTURE, BEHAVIORS, AND REWARDS

CULTURE. Organizational culture reinforces prompt, effective decisions and action throughout the organization.

- Capacity to cope well in crisis or in rapidly changing environment
- Balance of stability and innovation
- Transparency
- Extent to which the culture supports individual initiative and/or teamwork

BEHAVIORS. Leaders at all levels consistently demonstrate effective stewardship, collaboration, accountability, inspiration and decision behaviors.

REWARDS AND INCENTIVES. Those who make and execute effective decisions are valued and effectively rewarded.

- Volunteer leader traits that are most valued and rewarded
- Values that guide treatment of volunteers and staff and how they are rewarded

ASSESSMENT DATA

See project data and reports at <http://www.apa.org/about/governance/good-governance/index.aspx>

Information on Which the Assessment Was Based

Since inception, the focus of the GGP has been gathering information from a cross section of stakeholders about the current and desired governance systems, processes, structures and culture of APA. That internal information has been collected through a series of mechanisms including:

- Orientation to understand and fulfill responsibilities
- A baseline perceptions survey sent to virtually all leaders of governance groups;
- GGDs with Early Career Psychologists and members of APAGS, Division leaders, SPTA leaders/members and general members conducted during the Spring of 2011 and/or at Annual Meeting in August 2011;
- Discussions with EMG and senior staff and staff liaisons conducted through a combination of interviews, face to face meetings and GGDs;
- One-on-one telephone interviews with representatives of key stakeholder groups to help frame the GGD questions;
- Guided Group Discussions (GGDs) with Council in February and October;
- Input from self-directed GGDs with representatives of Divisions/ Committees/SPTAs; A discussion at the October 2010 Board of Directors meeting and telephone interviews with Board members.

The intent was to engage a wide swath of individuals knowledgeable about APA governance in providing input. We are currently attempting to extract information on general members' knowledge and impressions of governance from the most recent member needs assessment.

In addition, external information was gathered in several ways: observation by two members of the GGP team of the House of Delegates meeting of an organization that has adopted Knowledge Based Decision Making as their governance model; a survey of the executive directors of CESSE associations (Council of Engineering and Scientific Society Executives); interviews with the leaders of 5 membership organizations.

With the exception of the governance evaluation surveys, the majority of the information collected was qualitative. That data has been independently analyzed electronically to assess themes and confirm the patterns identified by the analysis already done by both the members of the GGP and the consultants from Cygnet Strategy, LLC.

In addition to the data itself, we are including the Preliminary Headline Report from the GGP made May of 2011.

In the spirit of transparency and to enhance the reader's understanding of the basis for the GGP's thinking reflected in the report, this appendix, (please refer to separate PDF provided) contains all the information compiled with the exception of the one-on-one telephone interviews and certain consultant facilitated discussions conducted with a commitment to confidentiality. What follows is a brief description of each of the data sets and how it

was compiled, and each is bookmarked to the left. We hope that you will find this information useful.

Internal Data

GGP collected a large amount of individual data points in the process of its assessment. The raw data is available upon request.

Governance Assessment Survey 2011

A survey of perceptions of governance, completed first by the Board in February and then offered to all other governance group leaders, provides a quantitative overview of baseline attitudes. The attached summary shows the differences and similarities between stakeholder perspectives.

Stakeholder Voice Reports (2011)

The GGP believed it was important to examine the differences in perspectives of the various stakeholder groups we engaged in this process. Accordingly, all individual data response for each stakeholder group was compiled into a summary report for each individual "Voice" segment. Then 2-4 members of the GGP team reviewed the appropriate data sets for each stakeholder group and created a summary Voice Report for that group, as grouped below:

Council Voice
Council Exit Interview 2010
Boards-Committees-Staff Liaison Voice
Divisions Voice
SPTA Voice
Board of Directors Voice
EMG and Senior Staff Voice
General Member, APAGs, ECPs Voice
Other Affiliated Organizations Voice
Others – unidentified at Council Voice

Council Guided Group Discussion Reports

The GGP engaged with Council in February and August of 2011. Both sessions were designed to bring the Council current with the project, provide an opportunity for Council members to think and dialogue together about governance, and to collect Council member input on key governance issues.

1. In February the Council held self-guided table discussions about several key questions.
2. In August, Council members again engaged in a series of small group discussions about governance, this time facilitated by GGP team members.
3. The background material sent to Council prior to the August discussion.

Self Guided Group Discussions

In the fall of 2011, all Divisions and SPTAs, as well as all Boards and Committees, were invited to provide input into the process. A series of open-ended questions were posed to each segment. As of this summary, 27 Boards and Committees, 3 states, and 5 Divisions have provided input.

External Data Collection

Observations About ADA's House of Delegates

GGP members Judith Blanton and Gil Newman observed the Fall House of Delegates meeting of the American Dietetic Association in San Diego. This link leads to their observations about the process.

CESSE Survey

An open-ended survey about their governance practices was sent over Norman Anderson's signature to the CEO members of Executives of the Council of Engineering and Scientific Society Executives.

What Other Professional Associations Are Doing

Interviews were conducted with the CEOs of 5 associations known to be dealing with some of the same governance issues that are emerging from the APA data. There are summaries of their experiences listed here.

Previously Issued GGP Reports

Preliminary Headlines from Initial Data Gathering (May 2011)

Between February and May 2011, the Project Team conducted an initial assessment of APA Governance using a variety of methodologies:

1. Guided Group Discussions with Council and others with 270 written responses
2. 29 Qualitative telephone interviews
3. 257 completed Quantitative surveys to assess perceptions of APA governance

This report is an outline of the themes that had emerged from that initial work. It was intended to provide "the lay of the land" – to identify areas to be further explored in order to determine if APA's governance practices, processes and structures are optimized and aligned with what is needed to thrive in a rapidly changing and increasingly complex environment. The report was prepared in preparation for the May Virtual GGP meeting and supplemented following that session.

Other Project Resources

Governance Assessment Taxonomy

APA Organization Chart and APA Board and Committee Chart

Road to Remarkable: Directed by Vision, Driven by Strength – 2010 Five-Year Report of P&P

The Project Team found the 5-year report of P & P to be very helpful. This version has highlights of key points of interest to the project team. These highlights are not intended to interpret or evaluate the report in any way, but they may help the reader scan through salient project points if desired.

Evolution of APA's Governance Structure 1892-1959: A Timeline

Independent Analysis of Qualitative Analysis