



Council Policy Manual
Association for Information Systems
(Adopted: June 8, 2014; revisions through March 2017)

Table of Contents

Contents

Part 1: Introduction and Administration 3

 1.1 Purpose 3

 1.2 Consistency 3

 1.3 Development of Procedures 3

 1.4 Transition 3

 1.5 Amendments 4

 1.6 Oversight 4

 1.7 Maintenance 4

Part 2: Guiding Principles 4

 2.1 Mission (revised 12/2010) 4

 2.2 Strategic Goals (revised 12/2010) 5

Part 3: Council Structure and Function 5

 3.1 Governing Style 5

 3.2 Council Job Description 6

 3.3 Council Meetings 6

 3.3.1 Active Participation in Council Meetings 6

 3.4 Advisory Groups and Task Forces 6

 3.5 Council Members' Code of Conduct 7

 3.5.1 Conflict of Interest (adopted 11/2014) 7

Part 4: Board/Staff Relationship 10

 4.1 Delegation to the Executive Director 10

 4.2 Executive Director Job Description 10

 4.3 Communication and Counsel 10

Part 5: Operations 11

 5.1 General Guidelines 11

 5.2 Financial 11

 5.2.1 Reserves and Investment (adopted 06/2004; revised 06/2008; revised 05/2015) 11



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

5.2.2. Council Travel Reimbursement Policy (adopted 09/2014)	13
5.3 Programs	15
5.3.1 Award Programs.....	15
5.3.1.1 Distinguished Member Award (adopted 06/2006; revised 12/2006; revised 12/2015; revised 03/2016)	15
5.3.1.2 LEO Award (adopted 06/1999; revised 12/2005; revised 12/2015; revised 12/2016).....	16
5.3.1.3 AIS Fellows (adopted 06/1999; revised 12/2005; revised 12/2015).....	17
5.3.1.4 Doctoral Student Service Award (adopted 03/2014; revised 12/2015)	19
5.3.1.5 Early Career Award (adopted 09/2014; revised 12/2015).....	20
5.3.1.6 Sandra Slaughter Service Award (adopted 12/2014; renamed the Sandra Slaughter Service Award 05/2015; revised 12/2015)	21
5.3.1.7 AIS Outreach Publication Award (adopted 03/2015; revised 03/2017)	23
5.3.1.8 AIS Community Leadership Award (adopted 03/2015); renamed AIS Leadership Excellence Award (12/2016).....	24
5.4 Publications	26
5.4.1 Copyright.....	26
5.4.2 Creation of New Publications (adopted 12/2006).....	28
5.4.3 Scholarly Misconduct (adopted 10/2003; revised 10/2013, 06/2014).....	30
5.4.4 Conference and Journal Publishing (adopted 03/2016).....	35
5.5 Conferences (future development).....	36
5.6 Advancement.....	36
5.6.1 Online Social Networks (adopted 03/2011; revised 06/2013).....	36
5.7 Audit and Compliance.....	38
5.7.1 Privacy Policy (adopted 06/2009)	38
5.7.2 AIS Whistleblower Policy (adopted 12/2016)	48
5.7.3 AIS Document Management Policy (adopted 12/2016).....	49
Addendum	55



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

Part 1: Introduction and Administration

This Council Policy Manual (CPM) contains the current policies adopted by Council of the Association for Information Systems since the initial approval of the CPM on June 8, 2014.

1.1 Purpose

The purpose of the Council Policy Manual is to:

- a. Collect all policies of the association in one place.
- b. Provide for efficient orientation of new Council members.
- c. Eliminate redundant or conflicting policies.
- d. Simplify the review of current policy when considering new issues.
- e. Provide clear, proactive policies to guide the Executive Director and staff.

1.2 Consistency

Each policy in the Council Policy Manual is expected to be consistent with the law, the articles of incorporation, and the bylaws of AIS, all of which have precedence over these policies. All policies shall be included or referred to in this document.

1.3 Development of Procedures

The Executive Director is responsible for developing organizational and administrative procedures that are consistent with the Council Policy Manual.

1.4 Transition

Whether adopted in part or as a complete document, upon approval by Council, any policy is deemed to supersede any past policy unless a prior Council resolution or contract obligates AIS with regard to the specific matter. Actual or apparent conflicts that arise between the Council Policy Manual and other policies or Council resolutions shall be resolved by the Executive Committee. In all cases, the Bylaws shall be the primary governing document and shall supersede any policies contained in the Council Policy Manual, or other AIS documents. The Council Policy Manual shall be considered the secondary



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

governing document and shall supersede policies, procedures, or guidelines contained in other AIS documents.

1.5 Amendments

These policies should be reviewed and refined as needed. Amendments to these policies may only be made by Council, meeting in official session and in accordance with quorum requirements outlined in the Bylaws. Proposed amendments may be submitted by any Council member. In most cases, proposed amendments shall be reviewed by the appropriate committee before being presented to Council for action. Whenever amendments are adopted, the new policies shall be dated and immediately made available to Council and staff by the Council Secretary or designee.

1.6 Oversight

Oversight of the Council Policy Manual is the responsibility of the assigned committee or the full Council, as determined by the President. Specific committees shall have primary responsibility for reviewing specific policies or portions of the Council Policy Manual, drafting revisions as appropriate, and submitting proposed revisions to the full Council for approval.

1.7 Maintenance

The Executive Director shall ensure the proper recording and publishing of all policies. The Executive Director, upon receipt from Council Secretary of approved policy amendments, shall maintain the Council Policy Manual and provide updates to Council whenever changes occur or upon request. As appropriate, legal counsel may be sought to review these policies to ensure compliance with the law.

Part 2: Guiding Principles

2.1 Mission (revised 12/2010)

The Association for Information Systems (AIS) serves society through the advancement of knowledge and the promotion of excellence in the practice and study of information systems. AIS is the premier professional association for individuals and organizations who lead the research, teaching, practice, and study of information systems worldwide.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

2.2 Strategic Goals (revised 12/2010)

The strategic goals of AIS are to:

- a. Promote AIS as a global leader for excellence in information systems research, practice, and education.
- b. Position information systems as a leading profession in the service of society.
- c. Lead and promote excellence in information systems education.
- d. Lead and promote excellence in information systems scholarship.
- e. Cultivate a community by providing services and products to meet the diverse needs of members and related communities.

Part 3: Council Structure and Function

3.1 Governing Style

Council will approach its task with a style that emphasizes outward vision rather than an internal preoccupation, encouragement of diversity in viewpoints, strategic leadership more than administrative detail, clear distinction of Council and staff roles, and proactivity rather than reactivity. In this spirit, Council will:

- a. Enforce upon itself and its members whatever discipline is needed. Discipline shall apply to matters such as attendance, respect for roles, speaking with one voice, and self-policing of any tendency to stray from the governance structure and processes adopted in these policies.
- b. Be accountable to its members for competent, conscientious, and effective accomplishment of its obligations as a body. It will allow no officer, individual, or committee to usurp this role or hinder this commitment.
- c. Monitor and regularly discuss Council's own processes and performance, seeking to ensure the continuity of its governance function by proper selection, orientation, training, and evaluation of council members.
- d. Be an initiator of policy, not merely a reactor to staff initiatives. Council, not staff, will be responsible for Council performance.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

3.2 Council Job Description

In addition to those duties outlined in the Bylaws, the job of Council is to lead AIS toward its stated mission and established goals. To perform its job, Council shall:

- a. Determine the mission, vision, values, strategies, and major goals, and hold the Executive Director accountable for developing a staff strategic plan, in accordance with these policies, to accomplish these goals.
- b. Determine the parameters within which the Executive Director is expected to achieve the goals.
- c. Monitor the performance of AIS relative to the achievement of the goals.
- d. Maintain and constantly improve the policies of Council as outlined in this Council Policy Manual.
- e. Select, fairly compensate, evaluate annually, and if necessary, terminate the Executive Director.
- f. Ensure financial solvency and integrity through policies and behavior.
- g. Require periodic financial and other external audits to ensure compliance with the law and appropriate financial practices.
- h. Evaluate and constantly improve Council's performance as the governing board, and set expectations for Council members' involvement as volunteers.

3.3 Council Meetings

3.3.1 Active Participation in Council Meetings (to be developed)

3.4 Advisory Groups and Task Forces

To increase its knowledge base and depth of available expertise, the Council supports the use of groups or task forces of qualified advisers. The term "task force" refers to any group appointed by a Council member, upon approval of the President, to assist in carrying out various time-limited goals and responsibilities. Although any Council member may form a task force, s/he shall notify the Council of its formation, purpose, and membership within ten days of its approval. The Executive Director may assign a staff member to serve advisory groups and task forces.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

3.5 Council Members' Code of Conduct

Council expects of itself and its members ethical and businesslike conduct. Council members must present themselves and conduct business in a manner that reflects positively on AIS, its mission, and its members.

3.5.1 Conflict of Interest (adopted 11/2014)

A. Purpose

The purpose of the conflict of interest policy is to protect AIS' interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an employee, contractor, officer or Council member of AIS or might result in a possible excess benefit transaction.

B. Definitions

1. Interested Person: Any employee, contractor, Council member, officer, or member of a committee with Council delegated powers, who has a direct or indirect financial, academic, or programmatic interest, as defined below, is an interested person.
2. Financial Interest: A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:
 - a. An ownership or investment interest in any entity with which AIS has a transaction or arrangement,
 - b. A compensation arrangement with AIS or with any entity or individual with which AIS has a transaction or arrangement, or
 - c. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which AIS is negotiating a transaction or arrangement. Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial. A financial interest is not necessarily a conflict of interest. Under Procedures, Item 2 of this policy, a person who has a financial interest may have a conflict of interest only if Council or the appropriate committee decides that a conflict of interest exists.
3. Academic or Programmatic Interest: A person has an academic or programmatic interest if the person has, directly or indirectly, leadership or other intensive interests that might give rise to substantial time commitments



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

outside of AIS. The following are examples of academic or programmatic interests that can give rise to conflict:

- a. Edit, control, or otherwise advance the mission of a journal or publication owned by AIS while also advancing the financial interest of non-AIS owned entities,
- b. Sponsor, manage, advise, or otherwise promote a conference, meeting, or assembly that is owned by AIS while also advancing the financial interest of non-AIS owned entities.

C. Procedures

1. In connection with any actual or possible conflict of interest, an interested person must disclose the existence of a conflict of interest and be given the opportunity to disclose all material facts to the directors and members of committees with Council delegated powers to consider the proposed transaction or arrangement.
2. After disclosure of the conflict of interest and all material facts, and after any discussion with the interested person, he/she shall leave the Council or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining Council or committee members shall decide if a conflict of interest exists.
3. The chairperson of Council or the committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
4. After exercising due diligence, Council or the committee shall determine whether AIS can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
5. If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, Council or the committee shall determine by a majority vote of the disinterested Council members whether the transaction or arrangement is in AIS' best interest, for its own benefit, and whether it is fair and reasonable, then make its decision as to whether to enter into the transaction or arrangement.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

6. If Council or the committee has reasonable cause to believe an individual has failed to disclose actual or possible conflicts of interest, it shall inform the individual of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.
7. If, after hearing the individual's response and after making further investigation as warranted by the circumstances, Council or the committee determines the individual has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

D. Compliance

1. The minutes of the Council and all committee meetings with Council-delegated powers shall contain:
 - a. The names of the persons who disclosed or otherwise were found to have an actual or possible conflict of interest, the nature of the conflict of interest, any action taken to determine whether a conflict of interest was present, and the Council's or committee's decision as to whether a conflict of interest in fact existed.
 - b. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, whether or not any alternatives to the proposed transaction or arrangement were considered, and a record of any votes taken in connection with the proceedings.
2. A voting member of Council who receives compensation, directly or indirectly, from AIS for services is precluded from voting on matters pertaining to that member's compensation.
3. Each Council member, officer, employee, contractor, and member of a committee with Council-delegated powers shall annually sign a statement (see Addendum for form) which affirms that he/she:
 - a. Has received a copy of the conflicts of interest policy,
 - b. Has read and understands the policy, and
 - c. Has agreed to comply with the policy.
4. The signed Conflict of Interest statement shall be kept on file in the AIS office.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

Part 4: Board/Staff Relationship

4.1 Delegation to the Executive Director

While the Council's job is generally focused on establishing policies and strategy, implementation and procedure development are delegated to the Executive Director as established in the bylaws.

- a. All Council authority delegated to staff is delegated through the Executive Director, as established in the Bylaws, so that all authority and accountability of staff, as far as Council is concerned, is considered to be the authority and accountability of the Executive Director.
- b. Guiding Principles policies (Part 2) guide the Executive Director on the goals of the organization. Operational Parameters policies (Part 5) define the acceptable boundaries of prudence and ethics within which the Executive Director is expected to operate. The Executive Director is authorized to establish procedures, make all decisions, take all actions, and develop all activities as long as they are consistent with any reasonable interpretation of Council's policies as contained in this Council Policy Manual and AIS Bylaws.
- c. Council may change its policies during any meeting, thereby shifting the boundary between Council and Executive Director domains. Consequently, Council may change the latitude of choice given to the Executive Director, but so long as any particular delegation is in place, Council and its members will respect and support the Executive Director's choices.

4.2 Executive Director Job Description

The Executive Director's job contributions can be stated as performance in two areas: (1) accomplishment of the major organizational goals as stated in Policy 2.2; and (2) AIS operations within the boundaries of prudence and ethics established in Council policies on Operational Parameters (Part 5). (Job description located in Addendum.)

4.3 Communication and Counsel

With respect to providing information and advice to Council, the Executive Director shall keep Council informed about matters essential to carrying out its governance duties. Accordingly, the Executive Director shall:



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- a. Inform Council of relevant trends, anticipated adverse media coverage, and material external and internal changes, and particularly changes in the assumptions upon which any Council policy has been previously established, always presenting information in a clear and concise format.
- b. Communicate with Council as a whole except when fulfilling reasonable individual requests for information or responding to officers or committees as established or assigned by Council.
- c. Report immediately any actual or anticipated material noncompliance with a policy of Council, along with suggested changes.

Part 5: Operations

5.1 General Guidelines

Council expects that AIS members, officers, and staff will always act in an ethical and prudent manner as provided in the bylaws in regards to the operation of the organization.

5.2 Financial

5.2.1 Reserves and Investment (adopted 06/2004; revised 06/2008; revised 05/2015)

A. Purpose

The purpose of the Reserves and Investment Policy is to provide guidelines for the prudent management of AIS funds to meet the financial objectives outlined in the Bylaws.

B. Procedures

1. Council has the authority and responsibility to manage the affairs of the corporation and shall have supervision, control, and direction over the assets and investment policies of the organization.
 - a) AIS Council approval is needed to set aside net assets into an endowment or reserve fund. Pursuant to Bylaw 15.4 Endowment and Reserve Funds.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

2. The AIS Executive Committee recommends investment policies to Council for approval.
3. The AIS staff and contractors have authority and responsibility to implement, oversee, and report on investments managed according to approved policies.
4. Funds will be invested to meet the following objectives.
 - a. AIS intends to keep in cash reserves an amount equal to no less than six (6) months of average operating expenses. AIS intends to keep in total reserves, including cash and cash equivalents, an amount equal to no less than twelve (12) months of average operating expenses. (rev.03/15)
 - b. AIS intends for reserve funds to earn a reasonable return with a conservative level of risk.
 - c. AIS intends for at least 50% of reserve funds to be liquid and available if needed for operations.
 - d. AIS intends for reserve funds to be invested with an allocation target of 65% fixed income and 35% equity.
 - e. Of the equity portion, 30% shall be in the 500 Index, 35% shall be in the mid-cap index, and 35% shall be in the small-cap index.
 - f. The fixed or liquid portion of the portfolio is expected to have an annual yield that meets or exceeds the Vanguard money market annual return when compared to the same time period.
 - g. The equity portion of the portfolio is expected to have an annual yield that meets or exceeds the S&P 500 annual return when compared to the same time period.
5. Funds will be invested according to the following parameters.
 - a. Approved investment options include:
 1. Fixed income instruments such as CD's, T-bills, and money market accounts
 2. Bond mutual funds with a credit rating of AA or higher
 3. Equity mutual funds with a Morningstar rating of 4-stars or higher



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- b. No investments shall be made in the following: futures, options, margin accounts, private loans, private mortgages, individual stocks, individual options contracts, commodities, or commodity contracts

C. Compliance

1. AIS Council shall be provided with quarterly updates to include a comprehensive profit and loss statement and balance sheet. The AIS Executive Committee shall be provided with this update monthly. (rev. 3/15)
2. If reserves drop to less than four (4) months operating expenses, AIS Council must be notified and AIS Council must then approve any future withdrawals from reserves.
3. AIS Council shall be provided updates from the AIS Treasurer of the association's compliance with AIS Financial Reserve Policies as noted in 5.2.1 Reserves and Investment twice a year during the face to face AIS Council meetings. (rev. 3/15)

5.2.2. Council Travel Reimbursement Policy (adopted 09/2014)

A. Purpose

It is the policy of AIS to reimburse the reasonable expenses of members of council (or designee) for official, approved AIS business travel and meetings as provided for in the AIS budget and/or by the President. The amount of reimbursement may change from year-to-year based on the resources available and budgeted. When incurring business expense, Council members are expected to:

- a. Exercise discretion and good business judgment with respect to those expenses.
- b. Be cost conscious and use the lowest options available.
- c. Provide proof of purchase (receipts) for all expenses. (Receipts are required for all expenditures billed directly to the individual, such as airfare and hotel charges.)



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

B. Reimbursement Parameters

1. Transportation:
 - a. Airfare: Reimbursement for economy class (21 day advanced-purchase lowest available) airfare will be provided. General air travel reservations should be made as far in advance as possible in order to take advantage of reduced fares. Individuals may not deliberately patronize a single airline to accumulate frequent flyer miles if less expensive comparable tickets are available on another airline.
 - b. Train: Reimbursement for economy class train fare will be provided.
 - c. Automobile: Reimbursement for mileage (per the IRS rate) or car rental will be provided.
2. Lodging: Reimbursement for hotel accommodations (selected by AIS) will be provided.
3. Meals: Reimbursement for meal expenses related to travel to/from/during the event will be provided based on current IRS per diem rates.
4. Ground Transportation: Council members are expected to use the most economical ground transportation available.
5. Other Miscellaneous Expenses: Reimbursement for any additional travel expenses such as Wi-Fi, photocopies, and telephone will be provided.
6. The maximum annual amount permitted by council members is \$1,250 unless otherwise budgeted in any given year or approved by the President. (rev. 12/14)
7. Council members need to use the AIS Expense Reimbursement Form (see attached).
8. Expense reimbursement requests must be received by the AIS Office no later than 60 days after the date the travel is completed. Expense reimbursement requests received after 60 days from the completion of travel will be denied and payment will not be made. (Please note: The rationale for Parameter 8 is to better insure AIS's compliance with IRS publication 535, Chapter 11 and the reporting of taxable income.) (rev. 12/14)



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

5.3 Programs

5.3.1 Award Programs

5.3.1.1 Distinguished Member Award (adopted 06/2006; revised 12/2006; revised 12/2015; revised 03/2016)

A. Purpose

The Distinguished Member Award, established by AIS Council in 2006, honors members of the AIS community who have made significant contributions to the field of information systems but, unfortunately, died before they could be considered for an AIS Fellow or AIS LEO Award.

B. Procedure

1. The Distinguished Member Award is given to an individual who:
 - a. died during the previous calendar year;
 - b. was a member of AIS for at least five (5) years;
 - c. is generally considered to have advanced the field through research or service; and
 - d. is not a LEO Award winner or AIS Fellow.
2. The Distinguished Member Award committee is comprised of (4) members: AIS President-Elect (who acts as Chair), AIS Immediate Past-President, one LEO awardee and one AIS Fellow as established in the Bylaws.
3. There is no requirement for the committee to make an annual award but rather it may make one or more awards when the stated criteria are satisfied.
4. Each year in which an award is made, the award is announced by the President of AIS in a letter to the deceased's family, in an email to all AIS members, and by announcement on the AIS website home page.
5. A short synopsis of the individual's career (and photo if available) will be published as appropriate.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

5.3.1.2 LEO Award (adopted 06/1999; revised 12/2005; revised 12/2015; revised 12/2016)

A. Purpose

The LEO Award, established by the AIS Council in 1999, and named for one of the world's first commercial applications of computing (The Lyons Electronic Office), recognizes truly outstanding individuals in the field of information systems.

B. Procedure

1. All recipients of the LEO Award are outstanding scholars or practitioners who have made a global impact on the field of information systems. Qualified candidates
 - a. are involved on the local level in the field of information systems;
 - b. act as role models to colleagues and students;
 - c. are well regarded by their peers as well as those outside of the field for their professional work and personal integrity; and
 - d. are not required to be members of AIS.
2. The LEO Award cannot be given posthumously.
3. The LEO Award Committee shall be formed by July 1 of each year and is comprised of AIS members as established in the Bylaws.
4. By August 1 of each year, the Chairperson of the AIS LEO Committee will issue a widespread call for nominations to AIS membership. A nomination must include both the name of the nominee and the basis for the nomination, and candidates may not be self-nominated. Nominations will close on October 1. Nominations will be valid for three (3) years.
5. The LEO Award Committee will determine the recipients of the award by October 15 of each year.
6. The Chairperson of the LEO Award Committee will notify, in confidence, those colleagues who have been chosen for the award. In addition, the Chairperson will notify, in confidence, members of the subcommittee of AIS Council of the outcome of their deliberations.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

7. The Chairperson of the LEO Awards Committee will present the recipients with suitable recognition at a ceremony held at ICIS.
8. The names of recipients will also be published as appropriate.
9. LEO recipients will be granted an honorary Lifetime Membership in AIS.
10. When appropriate, there may be additional forms of recognition.
11. Nominations may be submitted using the online nomination form.

5.3.1.3 AIS Fellows (adopted 06/1999; revised 12/2005; revised 12/2015)

A. Purpose

The AIS Fellow award, which was established by the Council in 1999, recognizes individuals who have made outstanding research, teaching, and/or service contributions to the field of information systems.

B. Procedures

1. Qualified AIS Fellow candidates:
 - a. are expected to have made significant global contributions to the discipline as well as outstanding local contributions in the context of their country and region;
 - b. are expected to be role models to colleagues and students within the discipline;
 - c. garner the respect of individuals from outside the discipline; and
 - d. should be esteemed for their high levels of professional and personal integrity.
2. The AIS Fellows Committee shall be formed by July 1 of each year and is comprised of AIS members as outlined in the Bylaws.
3. By August 1 of each year, the Chairperson of the AIS Fellows Committee will issue a widespread call for nominations to AIS Fellow. A nomination must include both the name of the nominee and the basis for the nomination, and candidates may not be self-nominated. Nominations will close on October 1.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

4. The AIS Fellow Committee will determine the recipients of the award by October 15 of each year.
5. Nominations may be submitted using the online nomination form.
6. No more than eight (8) fellows may be appointed across the organization, with a minimum of one (1) per AIS region, but no more than four (4) per AIS region. Nominations will be valid for three (3) years.
7. AIS Fellows must be current members of AIS and must remain members until they retire from full-time work.
8. In electing fellows, the AIS Fellows Committee will consider the nominations that they receive. In addition, members of the committee may consider other colleagues whom they believe are deserving of the award.
9. The chairperson of the committee will notify those colleagues who have been chosen for the award. In addition, the chairperson will notify the nominators of the outcome of their nominations.
10. The committee's deliberations will be confidential to the members of the committee. The committee is not obligated to make its deliberations available to subsequent AIS Fellows Committees. Members shall not enter into correspondence in relation to their deliberations and decisions.
11. In any year, the committee may choose to elect no fellows. In the event of a tie among the six-member committee, the chairperson of the committee may cast the deciding vote.
12. New AIS Fellows will be inducted by the chairperson of the AIS Fellows Committee at a ceremony held at the International Conference on Information Systems. New Fellows will be presented with suitable recognition. Fellows are also entitled to use the letters "FAIS" after their name.
13. From time to time, the committee may decide that additional forms of recognition of fellows are also appropriate.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

5.3.1.4 Doctoral Student Service Award (adopted 03/2014; revised 12/2015)

A. Purpose

The Doctoral Student Service Award, established by AIS Council in 2014, recognizes volunteer contributions made by doctoral students toward the success of AIS conferences, journals, and programs.

B. Procedures

1. The Doctoral Student Service Award is given to individuals who:
 - a. Made exceptional volunteer contributions to one or more of the following programs.
 - i. AIS Conferences, AMCIS or ICIS
 - ii. AIS affiliated conferences of ECIS or PACIS
 - iii. AIS Publications
 - iv. AIS SIGs, Chapters, Colleges, or Student Chapters.
 - b. Made contributions over and above typical student volunteer work during the academic year preceding that of the nomination year.
 - c. Were doctoral students at the time of making the contributions, but may have graduated at the time of award receipt.
 - d. Are members of AIS, both at the time of service and at the time of recognition.
 - e. Have not received this award previously.
2. The Doctoral Student Service Award committee shall be formed by July 1 of each year and shall consist of a chairperson and four members appointed by the Vice President of Member Services and Chapters. Committee members shall serve for no more than two years, with rotating terms. The committee shall include at least one member from each of the three AIS regions. All committee members must be AIS academic members in good standing.
3. By August 1 of each year, the committee chairperson will issue a wide-spread call for nominations. Nominations must be submitted using the online nomination form by October 1. Self-nominations will not be accepted.
4. The Doctoral Student Service Award Committee will determine the recipients of the award by October 15 of each year.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

5. Award recipients will be presented with a plaque at the ICIS conference and listed on the AIS website. When appropriate, there may be additional forms of recognition.
6. There is no limit to the number of recipients who may receive the award in a given year.

5.3.1.5 Early Career Award (adopted 09/2014; revised 12/2015)

A. Purpose

The Early Career Award, established by AIS Council in 2014, recognizes individuals in the early stages of their careers who have already made outstanding research, teaching, and/or service contributions to the field of information systems.

B. Procedures

1. Qualified AIS Early Career Award candidates:
 - a. at the time of nomination should:
 - i. have received their doctoral degrees no more than seven (7) years prior to nomination and be untenured on a tenure track; OR
 - ii. be within the first seven (7) consecutive years of their career as an instructor on a non-tenure track;
 - b. have made global contributions to the discipline as well as local contributions in the context of their country or region;
 - c. are role models to colleagues and students within the discipline;
 - d. garner the respect of individuals from outside the discipline;
 - e. are esteemed for their high levels of professional and personal integrity;
 - f. have not received the AIS Early Career Award previously; and
 - g. have been an AIS member for at least two (2) consecutive years and are current members of AIS at the time of nomination and receipt of recognition.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

2. The AIS Early Career Award Committee shall be formed by July 1 of each year and shall consist of a chairperson and four members appointed by the Vice President of Member Services and Chapters. Committee members shall serve for no more than two years, with rotating terms. The committee shall include at least one member from each of the three AIS regions. All committee members must be AIS academic members in good standing.
3. By August 1 of each year, the committee chairperson will issue a widespread call for nominations. Nominations may be submitted using the online nomination form by October 1.
4. The AIS Early Career Award Committee will determine the recipients of the award by October 15 of each year.
5. The committee's deliberations will be confidential to the members of the committee. The committee is not obligated to make its deliberations available to subsequent AIS Early Career Awards Committees. Committee members shall not enter into correspondence in relation to their deliberations and decisions.
6. A maximum of six (6) Early Career awards will be granted, with at least one (1) per AIS region.
7. Award recipients will be presented with a plaque at ICIS and listed on the AIS website. When appropriate, there may be additional forms of recognition.

5.3.1.6 Sandra Slaughter Service Award (adopted 12/2014; renamed the Sandra Slaughter Service Award 05/2015; revised 12/2015)

A. Purpose

The Sandra Slaughter Service Award, established by AIS Council in 2014, recognizes longstanding members who have provided leadership within the Association, particularly through such activities as participating in the SIGs/chapters/colleges, strengthening the conferences, and participating in AIS-sponsored journals.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

B. Procedures

1. Qualified Sandra Slaughter Service Award candidates:
 - a. have been AIS members for at least 3 years;
 - b. have not received the Sandra Slaughter Service Award within the five (5) years prior to nomination; and
 - c. have made significant contributions to the Association through activities such as (but not limited to) the following:
 - a. Council (past; sitting Council members are not eligible to receive this award)
 - b. Association committees
 - c. Journal editorial boards
 - d. Conference involvement
 - e. SIGs, Chapters, or Colleges
2. The Sandra Slaughter Service Award Committee shall be formed by July 1 of each year and shall consist of a chairperson and four members appointed by the Vice President of Member Services and Chapters. Committee members shall serve for no more than two years, with rotating terms. The committee shall include at least one member from each of the three AIS regions. All committee members must be AIS academic members in good standing.
3. By August 1 of each year, the committee chairperson will issue a widespread call for nominations. Nominations may be submitted using the online nomination form by October 1. Self-nominations will be accepted.
4. The Sandra Slaughter Service Award Committee will determine the recipients of the award by October 15 of each year.
5. The committee's deliberations will be confidential to the members of the committee. The committee is not obligated to make its deliberations available to subsequent Sandra Slaughter Service Awards Committees. Committee members shall not enter into correspondence in relation to their deliberations and decisions.
6. A maximum of six (6) Sandra Slaughter Service Awards will be granted, with at least one (1) per AIS region.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

7. Award recipients will be presented with a plaque at ICIS and listed on the AIS website. When appropriate, there may be additional forms of recognition.

5.3.1.7 AIS Outreach Publication Award (adopted 03/2015; revised 03/2017)

A. Purpose

The AIS Outreach Publication Award, established by AIS Council in 2015, recognizes members who successfully transfer research to practitioner audiences in practice-based publications. The publication can be in any medium in the public domain but not in an IS journal, conference proceedings, thesis, or other academic compilation. The publication selected for the award must be publically available with evidence that it has influenced practitioner or decision makers in the public or private sectors and/or researchers in disciplines greatly different from IS.

B. Procedures

- a. Qualified AIS Outreach Publication Award candidates must:
 - i. Be a member of AIS
 - ii. May not have received the AIS Outreach Publication Award within the five (5) years prior to the nomination
 - iii. Have made significant contribution to the practitioner audience in practice-based publications through research
- b. The AIS Outreach Publication Award Committee shall be formed by July 1 of each year and shall consist of a chairperson and four members appointed by the Vice President of Publications. Committee members shall serve for no more than two years, with rotating terms. The committee shall include at least one member from each of the three AIS regions. All committee members must be AIS academic members in good standing.
- c. By August 1 of each year, the committee chair will issue a widespread call for nominations. Nominations may be submitted using the online nomination form by October 1.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- d. The AIS Outreach Publication Award Committee will determine the recipients of the award by October 15 of each year.
- e. The committee's deliberations will be confidential to the members of the committee. The committee is not obligated to make its deliberations available to subsequent AIS Outreach Publications Awards Committees. Committee members shall not enter into correspondence in relation to their deliberations and decisions.
- f. A maximum of six (6) AIS Outreach Publication Awards will be granted.
- g. Award recipients will be presented with a plaque at ICIS and listed on the AIS website. When appropriate, there may be additional forms of recognition.

5.3.1.8 AIS Community Leadership Award (adopted 03/2015); renamed AIS Leadership Excellence Award (12/2016)

A. Purpose

The AIS Leadership Excellence Award, established by AIS Council in 2015, recognizes a distinguish industry or external community professional for their contributions to the field of IS. The recipient will be chosen from candidates in the region of the current year's International Conference on Information Systems (ICIS). The recipient will be selected for their leadership and have a high reputation for the development, use, and/or application of IS in the private or public sector in the region. The scope of impact of the selected individual must at the minimum be of national (or international) level.

B. Procedures

- a. Qualified AIS Leadership Excellence Award candidates must:
 - i. Be from the region of the current year's International Conference on Information Systems (ICIS).
 - ii. May not have received the AIS Leadership Excellence Award within the five (5) years prior to the nomination.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- iii. Have proven leadership and a high reputation for the development use and/or application of IS in the private or public sector in the region.
 - iv. Impact the field of IS at the national or international level.
-
- b. The AIS Leadership Excellence Award Committee shall be formed by July 1 of each year and shall consist of a chairperson and four members, as appointed by the Vice President of Communications. Committee members shall serve for no more than two years, with rotating terms. The committee shall include at least one member from each of the three AIS regions. All committee members must be AIS academic members in good standing.
 - c. By August 1 of each year, the committee chair will issue a widespread call for nominations. Nominations may be submitted using the online nomination form by October 1.
 - d. The AIS Leadership Excellence Award Committee will determine the recipients of the award by October 15 of each year.
 - e. The committee's deliberations will be confidential to the members of the committee. The committee is not obligated to make its deliberations available to subsequent AIS Leadership Excellence Award Committees. Committee members shall not enter into correspondence in relation to their deliberations and decisions.
 - f. A maximum of six (6) AIS Leadership Excellence Award will be granted.
 - g. Award recipients will be presented with a plaque at ICIS and listed on the AIS website. When appropriate, there may be additional forms of recognition.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

5.4 Publications

5.4.1 Copyright

A. Purpose

The purpose of the copyright policy is to protect the interests of both AIS and authors by defining ownership of scholarly work published by AIS and identifying the rights of authors. (Note: Publication of work in an AIS journal and publication of work as part of an AIS conference proceeding serve different purposes. Ownership of the material and the rights of both AIS and authors differ for journals and conference proceedings.)

B. Journal Copyrights

1. Authors are required to hold exclusive copyright of material submitted for publication in an AIS journal and to warrant that the work is not an infringement of any existing copyright, proprietary right, invasion of privacy or libel and will hold harmless AIS from any damages, expenses, and costs against any breach of such warranty.
2. Authors are required to transfer limited copyright for material published in an AIS journal to AIS. This limited copyright allows AIS to grant republication rights, without charge and without restriction, for any academic use as long as there is full acknowledgement of the original source of the work.

Each republished journal article shall contain the following statement regarding the copyright of material.

Copyright (date), by the Association for Information Systems. Permission to make digital or hard copies of all or part of this work for personal or classroom use is granted without fee provided that copies are not made or distributed for profit or commercial advantage and that copies bear this notice and full citation on the first page. Copyright for components of this work owned by others than the Association for Information Systems must be honored. Abstracting with credit is permitted. To copy otherwise, to republish, to post on servers for commercial use, or to redistribute to lists requires prior specific permission and/or fee. Request permission to publish from: AIS Administrative Office, P.O. Box 2712 Atlanta, GA, 30301-2712, Attn: Reprints, or via e-mail from: publications@aisnet.org

3. Republication, in whole or in part, for commercial purposes will be granted for a fee. The fee for each AIS published journal shall be established by Council.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

4. The following rights are reserved by the author of articles published in AIS journals:
 - a. The right to use, free of charge, all or part of the published material in future works of their own, such as books, lectures, and conference presentations, provided reference is given to the original AIS publication.
 - b. The right to include a copy of the material on the author's web page provided reference is given to the original AIS publication, the author states that AIS owns limited copyright of the material and that use for commercial purposes is not allowed. The author version published on the web site must be identical to the final version published by AIS and include a link to the appropriate AIS journal/proceedings.
 - c. The right to use the material for internal training or teaching purposes by the author's employer.
 - d. The right to share material with colleagues for their research.
 - e. The right to use the material in subsequent compilations of the author's work.
 - f. The right to grant permission to include the material in a thesis or dissertation written by a student at an academic institution.
 - g. The right to reuse portions or extracts of the material in other works by the author.
 - h. The right to use the material in other derivative works by the author.

C. Conference Proceedings Copyrights

1. Authors are required to hold exclusive copyright of material submitted for publication in an AIS conference proceedings and to warrant that the work is not an infringement of any existing copyright, proprietary right, invasion of privacy or libel and will hold harmless AIS from any damages, expenses, and costs against any breach of such warranty.
2. Authors retain copyright for material published as part of AIS conference proceedings. Submission of a paper to the conference represents the author's agreement to allow AIS a nonexclusive license to publish the paper in any written or electronic format for distribution to all interested



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

parties in perpetuity with or without compensation to AIS and without compensation to the author.

D. Paper Acceptance – Conference Attendance (adopted 12/2009)

1. Authors of papers accepted for presentation at an AIS conference are required to have at least one author register for and attend the conference. In the case of papers presented by a panel, all panel presenters are required to register for and attend the conference. Failure to comply with this policy may result (at the discretion of the conference program chairperson/committee) in removal of the paper from the conference proceedings.

E. Indemnification for Article Submission

1. By submitting a manuscript to an AIS journal or conference, the author is required to acknowledge the following:
 - a. AIS may, at its discretion, upload the article to any verification software, database, or other technology which may be used from time to time to verify the authenticity of the work.
 - b. If the work is found or suspected to infringe copyright of third parties, AIS may investigate the full circumstances of the case. This may involve forwarding the submitted work to the actual, or suspected copyright owners or any other individual or entity AIS deems appropriate for review.

5.4.2 Creation of New Publications (adopted 12/2006)

A. Purpose

The purpose of this policy is to establish guidelines to govern new AIS journals to ensure these new publications are consistent with the mission of AIS and fit well with the existing suite of journals.

B. Procedures

1. To propose a new AIS journal, the following information should be submitted to the VP of Publications.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- a. The proposed name of the journal, which shall include “AIS” as part of the name
 - b. The names of six (6) AIS members proposing the new journal and the endorsement of at least one AIS SIG or Chapter
 - c. The mission of the journal, the audience for the journal, and the types of IS topics that would best fit with the journal
 - d. How the journal complements/extends the suite of current AIS journals and affiliated journals
 - e. The journal’s language(s) of publication and its proposed publication frequency
 - f. The journal’s publication format(s) - electronic, print, or both
 - g. A list of at least two (2) proposed editors-in-chief and five (5) proposed senior editors, including bios and statements indicating they would be interested in serving on the editorial board
 - h. A plan and timetable to gain ISI indexing of the journal
 - i. A three (3) year budget, including revenues (such as fund-raising), in-kind contributions, and expenses
2. The VP of Publications will review the proposal with the AIS Publications Committee, and then, upon satisfactory review by the Committee, send it to Council for approval.

C. Compliance

1. If approved, new AIS journals will be required to:
 - a. Maintain the same “look and feel” as other AIS journals.
 - b. Work with designated staff to develop and use AIS submission and review systems to ensure reliable journal access for AIS.
 - c. Maintain international representation on the editorial board.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- d. Use double-blind reviews.
 - e. Submit annual progress reports and annual budgets.
 - f. Select editors-in-chief by following AIS bylaws for selection.
 - g. In consultation with the AIS Publications Committee, create an advisory board/council.
 - h. Keep records in support of ISI indexing requirements.
2. The editor-in-chief will be a member of the AIS Publications Committee.
 3. A new journal will be evaluated after three (3) years by the AIS Council to determine if it will continue as an AIS publication.

5.4.3 Scholarly Misconduct (adopted 10/2003; revised 10/2013, 06/2014)

A. Purpose

The purpose of the Scholarly Misconduct policy is to provide guidelines for investigating and adjudicating claims of plagiarism and other scholarly misconduct. This policy embodies the principle that every effort should be made to resolve disputes without resort to formal investigation. Moreover, it is not reasonable to assume that all researchers are informed, or even agree, as to what constitutes acceptable professional practice. Even experienced scholars are sometimes in dispute over what constitutes ethical behavior. Thus, while sanctions may be appropriate in some cases, counseling and training may be appropriate in others.

Misconduct occurs in varying degrees of severity and in many different forms. Each case of alleged member misconduct is expected to have unique aspects and it is impossible to provide a “one size fits all” procedure. This policy is perhaps most suitable for cases where documentary evidence can be obtained to establish authorship or other misconduct with a high degree of certainty. In general, the process should keep all parties informed and allow a respondent to take responsibility before a more serious step in the process occurs. The process should be adapted to fit each individual case while preserving the important principles of the policy.

In general, AIS members are expected to comply with the AIS Code of Research Conduct (AIS Administrative Bulletin 2014.0224.01) which provides a basis for ethical scholarly practice. The AIS Research Conduct Committee regards the



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

Code of Research Conduct not merely as a set of narrow rules upon which complaints of scholarly misconduct may be based, but rather as a source of guidance for the scholarly community.

Editors of non-AIS publications are free to adopt in whole or in part the AIS Code of Research Conduct and the procedures described in this policy. However these processes, guidelines, or such “rules” as they may imply, are not intended to apply to, or otherwise inappropriately interfere with, non-AIS publications.

B. Definitions

1. The AIS “Research Conduct Committee (RCC)” is comprised of AIS members as outlined in the Bylaws.
2. "Scholarly misconduct" is the term we use to describe behaviors by researchers that contravene the AIS Code of Research Conduct. While plagiarism is the form of scholarly misconduct that receives the most attention, there are other forms of scholarly misconduct, such as the fabrication or falsification of data, research procedures or data analysis, or the exercise of power or bias in scholarly activities.
3. "Plagiarism" is:
 - a. the use of another person’s writings, information, ideas, concepts or data without that person’s permission;
 - b. misrepresentation to an editor or conference program chairperson about the originality of the submitted work (often called "self-plagiarism").
4. The term “editor” refers to the Editor-in-Chief of an AIS publication or a program chairperson of an AIS conference who has been selected according to guidelines provided in the Bylaws.
5. The term "complainant" refers to the person or persons submitting a complaint alleging scholarly misconduct. The term refers to the role in the procedure, not the validity of the complaint.
6. The term "respondent" refers to the person or persons alleged to have contravened the AIS Code of Conduct. The term refers to the role in the procedure, not the guilt of the individual.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

7. The term "offender" refers to the person or persons determined to have contravened the AIS Code of Conduct.
8. The term "victim" refers to the person or persons who are harmed as a result of the offender's scholarly misconduct.

C. Procedures – Initial Steps

1. Complainants may be any observant scholar, an editor or reviewer, or an author or scholar that believes they have been wronged by another. Complainants may submit their complaints to the appropriate AIS editor or to the AIS President. They may not submit allegations directly to the RCC.
2. Allegations of scholarly misconduct submitted to an AIS editor shall first be investigated by the editor.
3. The editor should undertake an initial investigation to ascertain if the complaint is valid.
4. If, in the opinion of the editor, the complaint is deemed not valid (for instance if the reviewer has mistakenly identified plagiarism, or if an author has uploaded an incorrect file, or if an author has blinded mention of his/her own future work so as to preserve anonymity), then the editor should take those simple steps that will remedy the situation (inform the reviewer, upload the correct file) and then dismiss the complaint. The editor should notify the AIS President if the editor foresees any need to establish a record of a pattern of behavior.
5. If, in the opinion of the editor, the complaint may be valid, then the editor must escalate the matter to the AIS President, who may then turn it over to the RCC. All such allegations must be routed via the AIS President who alone has the authority to refer them to the RCC. In such a case, the editor should not attempt to contact the author or other respondent to ask for explanations.
6. The editor should not ask the eLibrary manager to remove a paper from the eLibrary at any stage of the process or under any circumstances.

D. Procedure –Consideration of Evidence by the RCC

1. The RCC shall only consider cases assigned by the AIS President.



Council Policy Manual Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

2. Editors or publishers of non-AIS publications may apply to the AIS President on a case-by-case basis for the adjudication by the RCC of allegations of scholarly misconduct in their own publications.
3. Once a case has been assigned to the RCC and the names of the individuals involved in the case identified, each RCC member should consider if he/she has any conflict of interest with any of these individuals. If such a conflict of interest is identified, the member with that conflict is professionally obligated to declare it and to recuse him/herself from the RCC for the duration of the specific case where the conflict applies. The member will then need to be replaced by another member, who will be appointed by the AIS President.
4. If the AIS President has a conflict of interest, then the same rules of recusal apply, and another individual who does not have such a conflict of interest will need to serve as proxy for the AIS President throughout the course of the investigation and the reporting of outcomes.
5. The RCC begins by deciding if sufficient evidence exists to undertake a formal investigation. All evidence gathered by the editor, complainant, and respondent will be examined by the RCC. The RCC may also request additional evidence from either the complainant or the respondent or obtain additional evidence from any other parties (e.g., the superiors of the complainant and respondent) through other channels, as it deems necessary.
6. The RCC should be able to answer each of the following questions in the affirmative to justify further inquiry.
 - a. Has sufficient evidence been submitted to conclude that plagiarism or other scholarly misconduct may have occurred?
 - b. Is the alleged misconduct sufficiently serious to justify pursuing?
 - c. Is there a reasonable prospect of resolution?

Unless all of these questions can be answered in the affirmative, or unless there are other compelling circumstances, the RCC shall inform the AIS President that no further action will be taken unless more compelling evidence becomes available.

7. If the above questions are answered in the affirmative, the RCC shall notify the respondent that if exculpatory evidence is not provided promptly, the RCC will proceed to investigate the case and will reach a conclusion independently. This conclusion will be reported to the AIS President. If an



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

individual admits misconduct at any stage, the RCC may immediately recommend appropriate actions for ratification by the AIS Executive Committee.

E. Compliance – Sanctions and Redress

1. Following completion of an investigation of alleged scholarly misconduct by the RCC, recommended penalties and actions to be taken will be identified for the AIS Executive Committee to review. The AIS President may communicate these outcomes to the complainant, the respondent and a senior administrator (Dean or above) at the institutions of both the complainant and the respondent, including (if appropriate) a specific response to each allegation made. Further the actions (if any) to be taken as a result of the investigation and its confirmation by the AIS Executive Committee should be effected as soon as is practically possible. Once they have been effected, the complainant and respondent should be informed of the situation, again as soon as practically possible.
2. The nature of the penalties and actions taken by the AIS Executive Committee will depend on the precise circumstances of the case. However, it is important that the injustice done to the victim be redressed and be seen to be redressed.
3. A finding of misconduct by an AIS member that pertains to a scholarly work published in a non-AIS publication may result in sanctions against such individuals as determined by the AIS Executive Committee.
4. A finding of misconduct by an AIS member or non-member that pertains to a scholarly work published by AIS may result in changes to the publication.
 - a. Where scholarly misconduct is demonstrated to have been perpetrated and where the offender is a single author, the entire article is to be removed.
 - b. Where multiple authors are involved, these authors will need to be consulted as well, since any action taken may unduly and unreasonably affect them and their careers.
 - c. Ideally, it will be possible to remove only the offending material, without retracting the whole article. If this occurs, then the offender's name is to be removed from the list of authors of the article, and a retraction notice that details the upheld allegations, the names of the victim(s) and offender(s) and a brief summary of the actions taken should be



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

posted to explain why the changes have occurred. This notice is to be appended as a footnote to the article, which will remain in the eLibrary.

- d. If the complete article is retracted, then a short note can replace the article to explain the retraction. Where a retraction occurs because of plagiarism, a link (hyperlink where possible, otherwise a text note) to the correct original publication that was plagiarized is to be provided.
 - e. If the original material was unpublished, then a note that describes its provenance can be included instead.
4. In cases where scholarly misconduct has been established, sanctions may include, but are not limited to:
- a. The AIS President issuing a warning letter, with or without copies to the offender's academic and administrative superiors;
 - b. Barring the offender from submitting papers to any of the AIS journals or proceedings;
 - c. Barring the offender from registering for any of the AIS official conferences; or
 - d. Expelling the offender from membership in the AIS for a stated period of time.
5. If significant scholarly misconduct is determined to have occurred in connection with a research project funded by an agency (local, regional, national, or international), the AIS President must also inform the agency.

5.4.4 Conference and Journal Publishing (adopted 03/2016)

A. Purpose

One important component of the Mission of the Association for Information Systems (AIS) is the advancement of knowledge in the service of society. This mission is not served by constraining the dissemination of research contributions. AIS therefore encourages authors of papers published at AIS conferences to submit them for publication in AIS journals bearing in mind that most journals expect a more substantial contribution than most conferences. Specifically, it is the policy of AIS that:



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- 1) *A paper published at an AIS conference may be submitted to a journal, even without change; and*
- 2) *A paper submitted to an AIS journal cannot be rejected only because an earlier version of the paper was previously published at a conference.*

Please note that this policy applies directly to [AIS conferences and journals](#) (see <http://aisnet.org/?AISelibrary>). Conferences and journals published by other organizations may have different policies which must be respected. Further, authors are not permitted to submit their AIS conference papers to multiple journals, since this explicitly violates the [AIS Code of Research Conduct](#).

5.5 Conferences (future development)

5.6 Advancement

5.6.1 Online Social Networks (adopted 03/2011; revised 06/2013)

A. Purpose

The purpose of the online social networks policy is to protect the identity and integrity of AIS while promoting the appropriate use of social networks to advance the purposes of AIS. Social networks operate through online services to help build social relations between people with common interests, activities, or other connections. Social networks may appear from time-to-time that are relevant to the purposes of AIS. These online venues offer an opportunity to share knowledge and information among AIS members, to increase public awareness of AIS, and to attract new members to AIS.

B. Definitions

1. Branded AIS Online Social Networks use the name, “Association for Information Systems” and the AIS logo. This usage requires written approval by the AIS Executive Director. The purpose of AIS Branded Online Social Networks is to be a medium for IS-related social interactions of parties interested in topics related to, and relevant for, members of the IS academic community.
2. An AIS Department Editor is an AIS member who is participating in a relevant social network and appointed by the VP of Communications to assume a



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

liaison role in the network. Where no such AIS members are available, the VP of Communications will, in cooperation with related SIG officers, seek an AIS member to join this network and serve as liaison under appointment as the AIS Department Editor in the social network topic. Department editors may also be recommended by other AIS Vice Presidents to the VP of Communications. The VP of Communications is responsible to AIS Council for governance of the collective body of all AIS Department Editors.

C. Procedures

1. The VP of Communications will routinely encourage officers, council members, SIG officers, and AIS members to provide information about relevant social networks. The VP of Communications will annually deliver a report to AIS council providing a summary and evaluation of the activities of the collective body of AIS Department Editors.
2. When the AIS name and/or logo is approved for use, the Executive Director will notify the VP of Communications, who will then appoint a Department Editor to be designated by the social networking host organization (e.g., Facebook, LinkedIn) as the nominal owner of the social network. This Department Editor will be responsible for monitoring and controlling the social network in keeping with this policy.
3. Department Editors with ownership or liaison roles in networks have the responsibility to immediately represent AIS when opportunities arise to enhance AIS' reputation and standing in the relevant social community. Department Editors are encouraged to immediately inform the VP of Communications, or if appropriate the President of AIS, of these opportunities, in an effort to enable further enhancements. A swift response in the case of misinformation is particularly important in promoting AIS to social networking communities.

D. Compliance

1. AIS Branded Online Social Networks should be "owned" officially by an AIS Department Editor.
2. AIS Branded Online Social Networks should be used as a forum for discussions that are IS-related and of significant importance to a large majority of the participants.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

3. AIS Branded Online Social Networks should encourage thoughtful enrollment and participation by AIS members and potential AIS members.
4. AIS members may use AIS Branded Online Social Networks to speak for themselves individually.
5. Misrepresentations about AIS made by media or other social networking users should be corrected only by an AIS officer in an official capacity.
6. Members using AIS Branded Online Social Networks should avoid:
 - a. Use to advertise events, items, or services that are marketed to generate profit, without advance written permission of the AIS Executive Director;
 - b. Use for student exercises;
 - c. Use for repeated distribution of the same information;
 - d. Communication that is confidential, in violation of any copyright law, defamatory, or in violation of any other law;
 - e. Communication that is in bad taste, inflammatory, offensive, or political in content, tone, or implication to any member of the diverse, global, and multi-cultural AIS community;
 - f. Distribution of intellectual property without the owner's permission.
7. AIS reserves the right to temporarily or permanently block any AIS Branded Online Social Network participant who fails to abide by these conditions, and also to remove any and all communications from the network archives with or without cause.

5.7 Audit and Compliance

5.7.1 Privacy Policy (adopted 06/2009)

A. Purpose

This policy declares the Undertakings by AIS in relation to its handling of your personal data, as those terms are defined in the definitions section below. AIS handles personal data for the following purposes:



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

1. *Membership data:* All data-items are supplied by the member, and can be viewed through the membership renewal web-forms. Credit-card details are retained only as long as they are needed to complete the payment transaction, with only partial details held long-term, in a log-file. Access to membership data is protected by password, and is permitted only by the member and relevant AIS staff, contractors and officers.
2. *Officer data:* The data-items are limited to name, affiliation and contact-points, as provided by the officer.
3. *Candidate data:* The data is limited to that provided by candidates for AIS offices, and is deleted after the election process is complete.
4. *Site-visitor:* The data is limited to that provided by visitors and/or disclosed by the visitor's client-software in the normal course of operation of services such as the Web.
5. *Website contributor data:* The data is limited to that provided by contributors of AIS resource-pages.
6. *Author data:* The data is limited to that provided by authors to AIS publications such as JAIS, CAIS, RELCASI, sprouts, ICIS and AMCIS, and to AIS-affiliated journals and conferences contained in the AIS Electronic Library.
7. *Editor and reviewer data:* The data is limited to that provided to AIS publications by editors and reviewers and stored in the relevant manuscript management tool and access is limited to people performing relevant functions.
8. *Employee and contractor data:* The data-items are limited to that relevant to the relationship. Disclosures are limited to name, position description and contact-point, as displayed in the AIS staff directory.

B. Definitions

1. "AIS" means the Association for Information Systems Inc., incorporated in Illinois USA as a non-profit organization, and which can be contacted here <http://aisnet.org>
2. "Undertaking" means an enforceable obligation that arises from a statement made, or an assurance or commitment given. In each case where this Privacy



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

Policy Statement says that “AIS undertakes” to do something, that statement gives rise to an Undertaking.

3. “Your data” means data that is capable of being associated with you, whether or not it includes an explicit identifier such as your name or customer number. In particular, it encompasses all data that AIS is capable of correlating with you, using such means as server-logs and cookie-contents. “Your data” does not refer to data that cannot or can no longer be associated with you. This includes aggregated data that does not and cannot identify the individuals whose data are included in the aggregation.
4. “Consent” means your concurrence with an action to be taken by AIS. Consent may be express or implied, but in either case must be informed and freely given.
5. “Jurisdiction” means the sphere of authority within which relevant legal powers may be exercised, in particular within which a particular court has authority. AIS is incorporated in Illinois USA. Its primary operations are in Georgia USA. Its officers and agents are in many locations around the world, and hence AIS may under various circumstances be subject to laws in a wide variety of jurisdictions.

C. Procedures – Data Collection

1. AIS undertakes to collect your data by means that are fair, legal, and transparent.
2. If you visit AIS's website, your web-browser automatically discloses, and AIS's web-server automatically logs, the following information: the date and time, the IP address from which you issued the request, the type of browser and operating system you are using, the URL of any page that referred you to the page, the URL you requested, and whether your request was successful. This data may or may not be sufficient to identify you.
3. Any additional data that you provide, e.g. in a web-form, may also be logged. This data may or may not be sufficient to identify you.
4. Any additional data that your web-browser automatically provides may also be logged. This will be the case, for example, if your browser has previously been requested to store data on your computer in 'cookies' and submits them each time you request a web-page within a particular domain (in particular, aisnet.org). This data may or may not be sufficient to identify you.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

5. AIS uses cookies when a visitor arrives on the web-site, and when a user logs on to sections of the AIS website that require their username and password, such as the Directory and the Digital Library. Most of the cookie-data is encrypted, and contains no sensitive data such as passwords. All cookies are set for session-only, and hence browsers should delete them at the next opportunity, such as the next quit and re-start.
6. If you disclose personal data to AIS in conjunction with an identifier such as your name or your credit-card details, AIS will collect your data. Moreover, any data that becomes available to AIS through any of the means described in the preceding paragraphs may be able to be associated with that identifier, and hence become your data.
7. AIS undertakes to collect your data from you and not from other parties. Where AIS collects your data from sources other than you, it undertakes to do so only by legal mean, to do so only with your consent, and to declare to you what sources it uses and under what circumstances.
8. AIS will list acceptable uses of your data in its Privacy Statement, which may be amended from time to time.

D. Procedures – Data Use

1. AIS undertakes to store your data in a manner that ensures security against unauthorized access, alteration or deletion, at a level commensurate with its sensitivity.
2. AIS undertakes to transmit your data in a manner that ensures security against unauthorized access, alteration or deletion, at a level commensurate with its sensitivity.
3. AIS undertakes to apply protections for your data at a level consistent with the OECD Guidelines on Privacy and on Security, even though your data may be stored in or transmitted to a jurisdiction whose legal requirements are lower than that.
4. AIS undertakes to implement appropriate measures to ensure security of your data against inappropriate behavior by AIS's staff-members, contractors and officers. These include:
 - a. training for staff in relation to privacy;



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- b. access control, to limit access to your data to those staff, contractors and officers who have legitimate reasons to access it;
- c. logs of changes to data;
- d. reminders to staff and contractors from time to time about the importance of data privacy, and the consequences of inappropriate behavior;
- e. declaration of appropriately strong sanctions that are to be applied in the event of inappropriate behavior;
- f. clear communication of policies and sanctions to staff; and
- g. processes to investigate and to impose sanctions.

E. Procedures – Disclosure

1. Disclosure refers to making your data available to any party other than AIS and you. The term disclosure may include many different conditions of data transfer, including selling, renting, trading, sharing and giving.
2. AIS undertakes to disclose your data only under the following circumstances:
 - a. for purposes for which we have your Consent, including purposes that are initially or subsequently agreed between you and AIS, purposes directly implied by the agreed purposes, and at your request;
 - b. for such additional purposes as are required by law, such as a provision of a statute, or a court order such as a search warrant or subpoena. In these circumstances, AIS will take any reasonable steps available to it to communicate to you that the disclosure has occurred, unless it is precluded from doing so by law;
 - c. for such additional purposes as are permitted by law (e.g. the reporting of suspected breach of the criminal law to a law enforcement agency; and in an emergency, where AIS believes on reasonable grounds that the disclosure of your data will materially assist in the protection of the life or health of some person), provided that AIS will apply due diligence to ensure that the exercise of the permission is justifiable.
3. Where your data is disclosed to an outsourced service-provider (e.g. to a company that processes credit-card transactions), AIS undertakes to make



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

reasonable endeavors to exercise control over compliance by its service-provider with the terms of this Privacy Policy Statement.

4. AIS undertakes to disclose your data only if it has demonstrable relevance to the particular use to which it is being put, and to disclose only such of your data as is necessary in the particular circumstances.
5. AIS undertakes to disclose your data in such a manner as to take into account the possibility that it is not of sufficient quality for the purpose, e.g. because it is inaccurate, out-of-date, incomplete, or out-of-context.

F. Procedures – Data Retention and Destruction

1. Subject to the qualifications immediately below, AIS undertakes:
 - a. to retain your data only as long as AIS reasonably believes it is consistent with its purpose; and
 - b. to destroy your data when AIS reasonably believes its purpose has expired, and to do so in such a manner that your data is not subsequently capable of being recovered.
2. This Undertaking is qualified as follows:
 - a. when your data falls due for destruction, it may be retained for a period beyond its expiry of purpose, until the next regular deletion cycle;
 - b. your data may be retained in AIS's logs, backups and audit trails within short-term retention cycles that are devised to protect the company's operations. In such cases, your data will be destroyed in accordance with those cycles;
 - c. in some circumstances, your data may be retained in an archive. An archive may be internal-only and accessible only by staff, contractors and officers; or it may be publicly available, as is the case with data relating to previous AIS officers;
 - d. your data may be retained beyond the expiry of its purpose if that is required by law, such as a provision of a statute, or a court order such as a search warrant or subpoena, or a warning by a law enforcement agency that delivery of a court order is imminent. In these circumstances, AIS:



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

1. will take any reasonable steps available to it to communicate to you that your data is being retained, unless it is precluded from doing so by law; and
2. will only retain your data while that provision is current, and will then destroy your data;
3. your data may be retained beyond the expiry of its purpose if such retention is authorized by law (in particular to protect AIS's interests, e.g. if it believes on reasonable grounds that you have failed to fulfil your Undertakings to AIS or may have committed a breach of the criminal law). In these circumstances, AIS will only retain your data while that situation is current, and will then destroy your data.

G. Procedures – Access by You to Your Personal Data

1. AIS undertakes to provide you with access to your data, subject to only such conditions and processes as are reasonable in the circumstances. In particular, AIS undertakes to enable access conveniently, without unreasonable delay, and without cost to you.
2. AIS undertakes to establish and operate identity authentication protections for access to your data that are appropriate to its sensitivity, but practical. This may involve some inconvenience; for example, relatively straightforward procedures may be involved in order to provide you with access through a channel that you have previously provided to AIS (such as a particular email-address), but more onerous procedures may have to be imposed if you wish to use some other channel.
3. If you request it, AIS undertakes to take reasonable steps in relation to the amendment, supplementation or deletion of your data.
4. In providing these undertakings, AIS is working on the assumptions that:
 - a. you will not to seek access, amendment, supplementation or deletion for frivolous purposes, or unreasonably frequently;
 - b. you accept that deletion of some categories of data may result in AIS no longer being able to provide particular services to you.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

H. Procedures – Data Handling Practices

1. AIS undertakes to make information available to you about the manner in which AIS handles your data:
 - a. in general terms, in a readily accessible manner, by means of this Privacy Policy Statement published on the AIS website;
 - b. and in more specific terms, on request.
2. Where your data is disclosed to an outsourced service-provider, AIS undertakes to make information available to you, on request, about the manner in which AIS's outsourced service-provider handles your data.
3. AIS undertakes to ensure that the information provided about data-handling practices is meaningful, and addresses your concerns.
4. In providing these undertakings, AIS is working on the assumptions that:
 - a. you will not seek such information for frivolous purposes, or unreasonably frequently;
 - b. and you accept that the disclosure of excessive detail may harm the security of your data and AIS's business processes, and may harm AIS's operational activities.

I. Procedures – Handling of Inquiries, General Concerns and Complaints

1. In providing these undertakings, AIS is working on the assumption that, if you have inquiries, general concerns, or complaints about any aspect of this Privacy Policy Statement, or about AIS's behavior in relation to its Undertakings, you will communicate them in the first instance to AIS only, in sufficient detail, and through a channel made available by AIS for that purpose.
2. AIS undertakes:
 - a. to provide one or more channels for communications to AIS, which are convenient to users. To find these channels, please go to the AIS Contacts Page <http://aisnet.org/?ContactUs>;



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- b. to promptly provide acknowledgement of the receipt of communications, including a copy of the communication, the date and time it was registered, and an indication of how to follow up the matter with AIS if a formal response is slow in arriving;
 - c. to promptly provide a response to the communication, in an appropriate and meaningful manner.
 3. In providing these undertakings, AIS is working on the assumption that you will not pursue AIS through any regulator or the media:
 - a. until and unless AIS has had a reasonable opportunity to respond to the initial communication;
 - b. and while AIS and you are conducting a meaningful dialogue about the matter.

J. Compliance – Enforcement

1. AIS declares that the Undertakings expressed in this Privacy Policy Statement are intended to create legal obligations, and that those obligations are intended to be enforceable under appropriate laws in appropriate jurisdictions. These may include laws relating to data protection, privacy, fair-trading, unfair competition, the corporations law, and the criminal law.
2. In providing these undertakings, AIS is working on the assumptions that:
 - a. you will not unreasonably seek enforcement until you have initiated the complaints-handling process and AIS has had the opportunity to redress the wrong; and
 - b. you will seek enforcement only in a jurisdiction that is relevant to the transactions that have taken place between you and AIS, in particular the jurisdiction in which you live or in which you performed the relevant acts, and the jurisdiction in which AIS is domiciled or performed the relevant acts.
3. If you wish to discover the relevant laws in any particular jurisdiction, AIS draws your attention to the following resources:
 - a. WorldLII Privacy Links (<http://www.worldlii.org/catalog/273.html>)



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

- b. Compilation of [U.S.] State and Federal Privacy Laws, Privacy Journal, Providence RI (<http://www.privacyjournal.net/work1.htm>)
- c. Privacy Law Sourcebook 2004, EPIC, Washington DC (<http://epic.org/bookstore/pls2004/>)
- d. Privacy International (<https://www.privacyinternational.org/>)
- e. The Australian Privacy Foundation's pages:
 - 1. International Instruments Relating to Privacy Law (<http://www.privacy.org.au/Resources/PLawsIntl.html>)
 - 2. Privacy Laws of Countries of the World (<http://www.privacy.org.au/Resources/PLawsWorld.html>)
 - 3. Privacy Laws of the Commonwealth of Australia (<http://www.privacy.org.au/Resources/PLawsClth.html>)
 - 4. Privacy Laws of the States and Territories of Australia (<http://www.privacy.org.au/Resources/PLawsST.html>)

K. Compliance – Changes to These Privacy Undertakings

- 1. AIS undertakes:
 - a. not to change this Privacy Policy Statement in a manner that materially reduces the protections for your data;
 - b. to subject proposals for material changes to this Privacy Policy Statement, or for more specific terms relating to particular services, to a process comparable with that used when making changes to the AIS By-Laws, and including consultation with members and/or with one or more appropriate representative and advocacy organizations; and
 - c. where new versions of this Privacy Policy Statement are promulgated, to ensure that:
 - 1. the previous versions and their dates of applicability remain accessible and the differences between successive versions are visible; and
 - 2. to take all possible steps to prevent any organization that may take over or absorb AIS or any of its relevant assets from materially changing the terms applicable to your data in a manner that reduces the protections for your data.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

5.7.2 AIS Whistleblower Policy (adopted 12/2016)

The Association for Information Systems (AIS) is committed to operating in furtherance of its tax-exempt purposes and in compliance with all applicable laws, rules and regulations, including those concerning accounting and auditing, and prohibits fraudulent practices by any of its board members, officers, employees, or volunteers. This Policy outlines a procedure for employees to report actions that an employee reasonably believes violates a law, or regulation or that constitutes fraudulent accounting or other practices. This Policy applies to any matter which is related to AIS's business and does not relate to private acts of an individual not connected to the business of AIS.

If an employee has a reasonable belief that an employee or the organization has engaged in any action that violates any applicable law, or regulation, including those concerning accounting and auditing, or constitutes a fraudulent practice, the employee is expected to immediately report such information to the Executive Director. If the employee does not feel comfortable reporting the information to the Executive Director, he or she is expected to report the information to the President.

All reports will be followed up promptly, and an investigation conducted. In conducting its investigations, AIS will strive to keep the identity of the complaining individual as confidential as possible, while conducting an adequate review and investigation.

AIS will not retaliate against an employee in the terms and conditions of employment because that employee: (a) reports to a supervisor, to the Executive Director, the AIS leadership, or to a federal, state or local agency what the employee believes in good faith to be a violation of the law; or (b) participates in good faith in any resulting investigation or proceeding, or (c) exercises his or her rights under any state or federal law(s) or regulation(s) to pursue a claim or take legal action to protect the employee's rights.

AIS may take disciplinary action (up to and including termination) against an employee who in management's assessment has engaged in retaliatory conduct in violation of this policy.

In addition, AIS will not, with the intent to retaliate, take any action harmful to any employee who has provided to law enforcement personnel or a court truthful information relating to the commission or possible commission by AIS or any of its employees of a violation of any applicable law or regulation.



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

Supervisors will be trained on this policy and AIS's prohibition against retaliation in accordance with this policy.

5.7.3 AIS Document Management Policy (adopted 12/2016)

1. Policy and Purposes

This Policy represents the policy of the Association for Information Systems (the "organization") with respect to the retention and destruction of documents and other records, both in hard copy and electronic media (which may merely be referred to as "documents" in this Policy). Purposes of the Policy include (a) retention and maintenance of documents necessary for the proper functioning of the organization as well as to comply with applicable legal requirements; (b) destruction of documents which no longer need to be retained; and (c) guidance for the Council, officers, staff, and other constituencies with respect to their responsibilities concerning document retention and destruction. Notwithstanding the foregoing, the organization reserves the right to revise or revoke this Policy at any time.

2. Administration

2.1 Responsibilities of the Administrator. The organization's Executive Director shall be the administrator ("Administrator") in charge of the implementation of this Policy. The Administrator's responsibilities shall include supervising and coordinating the retention and destruction of documents pursuant to this Policy and particularly the Document Retention Schedule included below. The Administrator shall also be responsible for documenting the actions taken to maintain and/or destroy organization documents and retaining such documentation. The Administrator may also modify the Document Retention Schedule from time to time as necessary to comply with law and/or to include additional or revised document categories as may be appropriate to reflect organizational policies and procedures. The Administrator is also authorized to periodically review this Policy and Policy compliance with legal counsel and to report to the Council as to compliance. The Administrator may also designate one or more assistants to aid in carrying out the Administrator's responsibilities, with the Administrator, however, retaining responsibility for administration of this Policy.

2.2 Responsibilities of Constituencies. This Policy also relates to the responsibilities of Council members, staff, volunteers, and outsiders with respect to maintaining and documenting the storage and destruction of the organization's documents. The organization's staff shall be familiar with this Policy, shall act in



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

accordance therewith, and shall assist the Administrator, as requested, in implementing it. The responsibility of volunteers with respect to this Policy shall be to produce specifically identified documents upon request of management, if the volunteer still retains such documents. In that regard, after each project in which a volunteer has been involved, or each term which the volunteer has served, it shall be the responsibility of the Administrator to confirm whatever types of documents the volunteer retained and to request any such documents which the Administrator feels will be necessary for retention by the organization (not by the volunteer). Outsiders may include vendors or other service providers. Depending upon the sensitivity of the documents involved with the particular outsider relationship, the organization, through the Administrator, shall share this Policy with the outsider, requesting compliance. In particular instances, the Administrator may require that the contract with the outsider specify the particular responsibilities of the outsider with respect to this Policy.

3. Suspension of Document Destruction; Compliance. The organization becomes subject to a duty to preserve (or halt the destruction of) documents once litigation, an audit, or a government investigation is reasonably anticipated. Further, federal law imposes criminal liability (with fines and/or imprisonment for not more than 20 years) upon whomever “knowingly alters, destroys, mutilates, conceals, covers up, falsifies, or makes a false entry in any record, document, or tangible object with the intent to impede, obstruct, or influence the investigation or proper administration of any matter within the jurisdiction of any department or agency of the United States ... or in relation to or contemplation of any such matter or case.” Therefore, if the Administrator becomes aware that litigation, a governmental audit, or a government investigation has been initiated, or is reasonably anticipated or contemplated, the Administrator shall immediately order a halt to all document destruction under this Policy, communicating the order to all affected constituencies in writing. The Administrator may amend or rescind the order only after conferring with legal counsel. If any council member or staff member becomes aware that litigation, a governmental audit, or a government investigation has been initiated, or is reasonably anticipated or contemplated, with respect to the organization, and they are not sure whether the Administrator is aware of it, they shall make the Administrator aware of it. Failure to comply with this Policy, including, particularly, disobeying any destruction halt order, could result in possible civil or criminal sanctions. In addition, for staff, it could lead to disciplinary action including possible termination.

4. Electronic Documents; Document Integrity. Documents in electronic format shall be maintained just as hard copy or paper documents are, in accordance with the Document Retention Schedule. Due to the fact that the integrity of electronic documents, whether with respect to the ease of alteration or



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

deletion, or otherwise, may come into question, the Administrator shall attempt to establish standards for document integrity, including guidelines for handling

electronic files, backup procedures, archiving of documents, and regular checkups of the reliability of the system; provided, that such standards shall only be implemented to the extent that they are reasonably attainable considering the resources and other priorities of the organization.

5. Privacy. It shall be the responsibility of the Administrator, after consultation with counsel, to determine how privacy laws will apply to the organization's documents from and with respect to employees and other constituencies; to establish reasonable procedures for compliance with such privacy laws; and to allow for their audit and review on a regular basis.

6. Emergency Planning. Documents shall be stored in a safe and accessible manner. Documents which are necessary for the continued operation of the organization in the case of an emergency shall be regularly duplicated or backed up and maintained in an off-site location. The Administrator shall develop reasonable procedures for document retention in the case of an emergency.

7. Document Creation and Generation. The Administrator shall discuss with staff the ways in which documents are created or generated. With respect to each employee or organizational function, the Administrator shall attempt to determine whether documents are created which can be easily segregated from others, so that, when it comes time to destroy (or retain) those documents, they can be easily culled from the others for disposition.

8. Document Retention Schedule

<u>Document Type</u>	<u>Retention Period</u>
Accounting and Finance	
Accounts Payable	7 years
Accounts Receivable	7 years
Annual Financial Statements and Audit Reports	Permanent
Bank Statements, Reconciliations & Deposit Slips	7 years
Canceled Checks – routine	7 years
Canceled Checks – special, such as loan repayment	Permanent
Credit Card Receipts	7 years
Employee/Business Expense Reports/Documents	7 years
General Ledger	Permanent
Interim Financial Statements	7 years



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

Contributions/Gifts/Grants

Contribution Records	Permanent
Documents Evidencing Terms of Gifts	Permanent
Grant Records	7 years after end of grant period

Corporate and Exemption

Articles of Incorporation and Amendments	Permanent
Bylaws and Amendments	Permanent
Minute Books, including Board & Committee Minutes	Permanent
Annual Reports to Attorney General & Secretary of State	Permanent
Other Corporate Filings	Permanent
IRS Exemption Application (Form 1023 or 1024)	Permanent
IRS Exemption Determination Letter	Permanent
State Exemption Application (if applicable)	Permanent
State Exemption Determination Letter (if applicable)	Permanent
Licenses and Permits	Permanent
Employer Identification (EIN) Designation	Permanent

Correspondence and Internal Memoranda

Hard copy correspondence and internal memoranda relating to a particular document otherwise addressed in this Schedule should be retained for the same period as the document to which they relate.

Hard copy correspondence and internal memoranda relating to routine matters with no lasting significance

2 years

Correspondence and internal memoranda important to the organization or having lasting significance

Permanent, subject to ED review

Email to or from the organization

Electronic mail (emails) relating to a particular document otherwise addressed in this Schedule should be retained for the same period as the document to which they relate, but may be retained in hard copy form with the document to which they relate.

Emails considered important to the organization or of lasting significance should be printed and stored in a central repository.

Permanent, subject to ED review



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

E-mails not included in either of the above categories 1 Year

Electronically Stored Documents

Electronically stored documents (e.g., in pdf, text or other electronic format) comprising or relating to a particular document otherwise addressed in this Schedule should be retained for the same period as the document which they comprise or to which they relate, but may be retained in hard copy form (unless the electronic aspect is of significance).

Electronically stored documents considered important to the organization or of lasting significance should be printed and stored in a central repository (unless the electronic aspect is of significance).

Permanent, subject to ED review

Electronically stored documents not included in either of the above categories

2 years

Employment, Personnel and Pension

Personnel Records

10 years after employment ends

Employee contracts

10 years after termination

Retirement and pension records

Permanent

Insurance

Property, D&O, Workers' Compensation and General Liability Insurance Policies

Permanent

Insurance Claims Records

Permanent

Legal and Contracts

Contracts, related correspondence and other supporting documentation

10 years after termination

Legal correspondence

Permanent

Management and Miscellaneous Strategic Plans

7 years after expiration



Council Policy Manual

Association for Information Systems

(Adopted: June 8, 2014; revisions through March 2017)

Policies and Procedures Manual	Current with revision history
Property – Real, Personal and Intellectual	
Property deeds and purchase/sale agreements	Permanent
Property Tax	Permanent
Real Property Leases	Permanent
Personal Property Leases	10 years after termination
Trademarks, Copyrights and Patents	Permanent
Tax	
Tax exemption documents & correspondences	Permanent
IRS Rulings	Permanent
Annual information returns – federal & state	Permanent
Tax Returns	Permanent



Council Policy Manual
Association for Information Systems
(Adopted: June 8, 2014; revisions through March 2017)

Addendum

AIS Council Policy Manual Addendum

Document	Policy Reference	Link
Conflict of Interest Disclosure Form	3.5.1	http://aisnet.org/resource/resmgr/Council_Docs/2009jnConflictOfInterestPoli.pdf
Executive Director Job Description	4.2	http://aisnet.org/resource/resmgr/Council_Docs/executive_director_job_descr.pdf

Other AIS Governing Documents

AIS Bylaws: <http://ais.site-ym.com/general/custom.asp?page=AISBylaws>

AIS Constitution: <http://ais.site-ym.com/?AISConstitution>

AIS Administrative Bulletins: <http://ais.site-ym.com/?AdminBulletins>

****END OF DOCUMENT****