



# ASAE Certified Association Executive (CAE™) Program Candidate Handbook

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*Note: This handbook reflects the policies and procedures as of July 29, 2009. All policies and procedures are subject to change. If you have any questions or require further information, please visit [www.asaenet.org/cae](http://www.asaenet.org/cae) or contact CAE program staff.*

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# WELCOME

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Welcome and congratulations on taking the first step toward earning the Certified Association Executive credential. The American Society of Association Executives (ASAE) established the Certified Association Executive (CAE™) program in 1961 to promote the highest standards of association management through the credentialing of association professionals. By choosing to review this candidate handbook, you have taken the first step toward joining those who have distinguished themselves by earning the CAE.

## How To Use This Handbook

This handbook summarizes key aspects of the CAE™ program, and is intended to help you understand why the program was developed, how it is governed, its policies and procedures, and the steps to earning and maintaining the CAE credential. The handbook is a useful reference to you as you:

- make your decision whether to pursue the CAE
- develop your course of study to meet the eligibility requirements of the CAE
- complete the CAE application
- study and prepare for the CAE examination
- seek to maintain (or provide yourself another opportunity to earn) the CAE

The CAE is a vibrant program that continues to grow and be refined in accord with the evolution of association management and certification professional practices. No printed document can address every potential question, policy detail, or future program change. You are encouraged to use this handbook as a supplement to the program information provided on the CAE program web site ([www.asaenet.org/cae](http://www.asaenet.org/cae)) as well as the information provided by ASAE's credentialing staff, who may be contacted at 202-626-2759 or [caedep@asaenet.org](mailto:caedep@asaenet.org).

Again, welcome and best wishes on earning your CAE!

## The CAE Commission

The CAE Commission, an independent certifying agency of the American Society of Association Executives, is responsible for the governance of the CAE program, and all policy and standards related to the CAE credential. The program is administered by ASAE staff, which implements the policies. This structure allows the CAE Commission to maintain integrity concerning policy matters related to credentialing.

The CAE Commission issues certificates to individuals who successfully meet its standards. These individuals may present themselves to the public as certified association executives.

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**KNAPP & ASSOCIATES INTERNATIONAL, INC.**

The CAE Commission retains Knapp & Associates International, Inc. (K&A) of Princeton, NJ, to provide assistance in the administration of the certification program and the development of the test. K&A is a management consulting firm that assists organizations in the development of professional certification programs.

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# HISTORY

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## HOW WAS THE CAE™ PROGRAM DEVELOPED?

The Certified Association Executive program is designed to elevate professional standards, enhance individual performance, and designate individuals who demonstrate the knowledge essential to the practice of association management. Founded in 1960, the CAE program has stood as a mark of excellence for almost 50 years, and has evolved to reflect the growth and changes in the practice of association management.

The eligibility requirements and test materials for the CAE certification program were developed based on a thorough study of the scope of practice and current state of knowledge in association management. A national job analysis survey of association professionals was conducted in 2003 to define the scope of practice for association professionals and determine the content areas appropriate for the test. The survey was designed to identify the knowledge used by association professionals in the day-to-day performance of their jobs. A representative panel of association management experts reviewed the results of the survey and identified the scope of practice for association professionals based on these data, thus ensuring that the content of the test reflects the day-to-day practice of association professionals nationwide. The results were organized into the Exam Content Outline, ten knowledge domains and respective subtasks that can be found on pages 8-15 of this handbook.

The CAE test questions are written by Certified Association Executives and reviewed by a panel of association management experts prior to being selected for the test. After the test, the questions are analyzed statistically to identify any hidden flaws. Questions that appear to be flawed are discussed by the CAE Examination Committee to determine if credit should be given for more than one answer. After these issues are resolved, the test is scored.

The test question pool for the CAE certification program is updated on a regular basis to reflect current practices in association management. Individual questions that have been shown by statistical analysis to be unclear or unfair are modified or deleted from the pool.

The CAE certification test has been designed to meet testing industry standards for validity and reliability.

**Validity** is the degree to which the content of the test reflects the knowledge and skills required to perform the duties of an association chief staff executive in a competent manner.

**Reliability** is the accuracy of the test results. That is, the degree to which the test results are free from error.

## WHAT IS THE PURPOSE OF THE CAE CREDENTIAL?

The purposes of the CAE certification program are to:

- establish the body of knowledge for association professionals;
- assess the level of knowledge demonstrated by association professionals in a valid and reliable manner;

- encourage professional growth in the field of association management;
- formally recognize individuals who meet the requirements set by CAE Commission; and
- serve the public by encouraging quality association management services.

The CAE Commission, with the assistance and advice of professionals in relevant fields, has attempted to develop a credential that will recognize accepted levels of expertise in the profession with the goal of improving professional standards in association management. However, no certification program can guarantee professional competence. In addition, given the frequent changes in recommended practice and not-for-profit law, the CAE Commission cannot warrant that the test materials will at all times reflect the most current state of the art. The CAE Commission welcomes constructive comments and suggestions from the public and the profession.

### WHAT ARE THE BENEFITS OF CERTIFICATION?

<p>The benefits of certification for association professionals include:</p> <ul style="list-style-type: none"> <li>• Verification of your knowledge by an independent organization – a way to prove that you have the knowledge needed for the job</li> <li>• Professional growth and development</li> <li>• Enhanced job opportunities</li> </ul>	<p>The benefits of certification for employers include:</p> <ul style="list-style-type: none"> <li>• Increased productivity</li> <li>• Less training time needed to bring employees “up to speed”</li> <li>• Competitive advantage in promoting services to members and other stakeholders</li> </ul>
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## GETTING READY FOR THE TEST

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### WHO CAN TAKE THE TEST?

You are eligible to register for the test if you meet the following requirements:

- Are currently or recently employed in a qualifying nonprofit organization or association management company.
- Hold a bachelor’s degree and qualifying work experience equivalent (Work experience can be substituted for a degree on a calculated basis. Contact CAE staff for details);
- Have sufficient qualifying professional experience (3 years experience as CEO with a bachelor’s degree; 5 years experience at a staff level with a bachelor’s degree)
- Have completed 75 hours of broad-based qualifying professional development activities within the last five years. In order to ensure that your professional development activities are suitably broad-based, it is strongly recommended that you use the exam content outline domain percentages as a guide in fulfilling the requirement. Effective January 1, 2010, candidates must complete 100 hours of broad-based association management related professional development activities within the five years preceding the application. Within those 100 hours, no more than 20 hours can be from any one domain topic.
- Sign an attestation to uphold ASAE’s Standards of Conduct.

All experience and coursework must be completed at the time the application is submitted.

## **HOW MUCH DOES IT COST?**

A fee (\$500 ASAE members/\$700 nonmembers) must accompany the application. The CAE Application documents your qualifying professional experience, professional development activities and attestation to uphold ASAE's Standards of Conduct. All experience and coursework must be completed at the time the application is submitted, which is generally three months prior to the exam date. Candidates have the opportunity to obtain an extension to the application deadline for an additional \$100 fee up to two months prior to the exam date. See [www.asaenet.org/cae](http://www.asaenet.org/cae) for specific fee information and application deadlines.

A nonrefundable fee of \$150 is included in the application fee. This \$150 charge is incurred upon receipt of your application by the CAE program. If for some reason, you fail to meet the eligibility requirements at the time of application, your application and documentation will be returned to you. Your fee will be refunded, less the \$150 nonrefundable portion.

## **HOW DO I APPLY?**

You must complete the current Certified Association Executive application to apply for the CAE program. Please be sure to read all the information included in this handbook and follow all instructions on the application carefully.

All applications must be received by ASAE by the deadline on the application. If using first class mail, please allow at least ten (10) days transit time. Applications received after the deadline will be rejected and your fee will be refunded less the \$150 nonrefundable portion.

When your application has been reviewed and accepted, you will receive an acknowledgment and your name will be entered on the roster of eligible candidates. Successful applicants may take the exam once at either of the two next test dates as part of their application fee. Subsequent examinations are subject to a testing fee of \$250 per test.

## **IS MY INFORMATION KEPT CONFIDENTIAL?**

Certification applications and candidates' performance on the CAE examination shall remain confidential unless otherwise stipulated by the examinee or as required by law. The CAE program will release application and pass/fail information only to the applicant and only in writing.

The exception to this is the published list of CAEs that the Commission makes available to the public. This statement does not preclude the publishing of any certificant's name against whom disciplinary action has been taken.

For the complete policy on confidentiality, please see CAE Standing Rules and Policies, Policy #1.

## **WHEN AND WHERE IS THE TEST GIVEN?**

The CAE exam is given on the first Friday in May and the first Friday in December, beginning at 9 AM local time. The test is administered at scheduled test centers throughout the U.S. Regions in which a test center will be scheduled for every test administration include:

- Atlanta
- Northern California (e.g., Bay Area)

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- Chicago, IL
- Lansing, MI
- Florida (e.g., Tallahassee or Orlando)
- Ohio Valley (e.g., Cincinnati, Columbus, or Pittsburgh)
- New York City
- St. Louis
- Texas (e.g., Dallas or Austin)
- Washington, DC

Test centers will also be scheduled for the May exam in Denver, Colorado, Kansas, and the Pacific Northwest; and for the December exam, Twin Cities, Raleigh, NC, and the Southwestern U.S. In addition, there are policies to accommodate test-takers further than 120 miles from a scheduled test site, as well as for organizations wishing to arrange a test center for the establishment of a special test center for 5 or more test takers. For more information on test center policies, contact ASAE credentialing staff at [caedep@asaenet.org](mailto:caedep@asaenet.org). Please note that all examination sites are subject to the availability of facilities that meet the CAE Commission's testing standards and minimum enrollment numbers.

### **HOW ARE REASONABLE ACCOMMODATIONS MADE?**

The CAE Commission will make reasonable efforts to accommodate eligible candidates, who provide documented evidence of their disability or need for reasonable accommodations, with auxiliary aids and services that do not present an undue burden to the CAE Commission and do not fundamentally alter the measurement of the knowledge the assessment is intended to test. If you require reasonable accommodations, you must inform the CAE Commission of your needs in writing with supporting medical documentation at the time of your application.

### **WHAT IS THE FORMAT FOR THE TEST?**

The exam is offered in a single, four-hour session. The test will have 200 multiple-choice questions. Each question contains four options or choices, only one of which is the correct or best answer. You will be asked to select the correct or best answer from these options.

### **WHAT DO I NEED TO KNOW FOR THE TEST?**

The job analysis conducted in 2003 resulted in the Exam Content Outline, which organizes tasks deemed essential to association management into ten knowledge domains.

#### **The CAE Exam Content Outline**

The composition of the exam is guided by extensive research on the job tasks performed and knowledge needed by association executives. This research, and the exam content outline, is updated approximately every five years. Please note that the questions from each content area will be mixed throughout the test. The questions will not be presented in content area order on the test.

The following is a detailed outline of the ten major content areas of the test which will be used to guide the composition of the CAE exam effective May 2005 through December 2009, with an indication (in parentheses) of the approximate percentage of the test devoted to each area:

#### **Domain 1: Strategic Management (13 -15%)**

##### **General Management**

- Identify and define the association's core competencies and ensure that association operations and activities

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support and capitalize on these competencies.

- Identify and implement, when appropriate, other corporate entities to further the association's mission (e.g., foundations, service corporations).
- Develop and analyze internal (operational) and external (leadership and membership) performance metrics for association operations and activities.
- Work with board to develop a staff leadership succession plan.
- Apply management theories for effective management of the association.
- Develop and implement strategies to encourage best practices and introduce and manage change and innovation.
- Utilize quantitative and qualitative tools and project management skills to achieve management goals.
- Apply logical steps in the project management process, including needs analysis, planning, prioritizing, program development, implementation, management, and evaluation.
- Plan and ensure that quality control procedures are implemented.
- Establish and utilize a strong peer network to maintain knowledge of current association management practices.

### **Marketing/Branding**

- Define the scope of the market and identify target segments and key stakeholder groups in building membership and customers.
- Identify the association's unique value proposition, preferred positioning and distinctive brand.
- Conduct environmental scans.
- Research and identify strategies and tactics for increasing member return on investment (ROI).
- Develop and implement a marketing plan to support the association's positioning and branding, enhance membership recruitment and retention efforts, and promote programs, products, and services.

### **Financial Management**

- Identify, retain, and/or manage accounting services.
- Develop, recommend, implement, review, and manage budgets.
- Develop systems, metrics and tools (e.g., allocation of all-cost programs, budgeting by program) for monitoring and managing financial performance.
- Determine oversight responsibilities related to subsidiary corporations (e.g., financial operations, business operations, consistency with mission).
- Establish a financial reporting system that provides clear, accurate, and complete reports for the board, staff, and members.
- Ensure that finances are independently reviewed and audited on a periodic basis.
- Recommend, implement, and manage investment policies and activities and identify and retain investment management services.
- Recommend, implement, and manage reserve policy.
- Evaluate the impact of economic and budget factors on financial planning, investment policies, and financial performance.
- Develop and establish policies and procedures to ensure strong internal financial controls.
- Monitor and maintain adequate cash flow to meet the organization's disbursement needs.
- Implement an antifraud policy.

## **Domain 2: Planning And Research**

**(7 - 9%)**

### **Strategic Planning/Strategic Thinking**

- Establish and implement a strategic planning process that advances the association's mission and vision and is based on sound methodological principles.
- Ensure that the association has a focused and well-articulated mission and vision that is communicated to members, staff, and the public.
- Assist the board in setting and implementing short- and long-term association priorities based on a strategic

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planning process.

- Align the association's annual business plan with the strategic plan to focus resource allocation.
- Ensure that association activities, operations, and business plans support the strategic goals of the organization.
- Evaluate the effectiveness of the strategic plan on an ongoing basis and revise as necessary.
- Evaluate the need for, and feasibility of, working with other organizations through mergers, partnerships, acquisitions and consolidations.

### **Business Planning**

- Identify business goals and objectives and strategies and tactics for achieving these goals.
- Evaluate data from a variety of sources (e.g., needs assessment, trend monitoring, benchmarking, evaluations) and utilize these data to develop business plans.
- Prepare business plans (including financial projections, break-even points and total costs) for new and existing programs, products and services.
- Develop long-range funding and needs plans.
- Develop strategies to incorporate fund-raising vehicles into revenue planning, as appropriate.
- Develop a business continuity plan.

### **Research, Evaluation, and Statistics**

- Develop a research agenda that benefits the internal operations of the association, advances the profession or industry, and provides needed information for members and other stakeholders (e.g., needs assessment surveys, market analyses, benchmarking studies, best practices studies, compensation surveys).
- Identify and utilize appropriate research methodologies (e.g., interview, focus group, survey) and data collection methods (fax, E-mail, Internet based).
- Implement statistical and quality control procedures to ensure accuracy of research results and manage research conducted by contracted research consultants.
- Prepare and deliver customized research reports tailored to the needs and interests of stakeholders (e.g., members, government agencies, partners).
- Design and implement a data reporting system that is flexible and customizable.

## **Domain 3: Leadership**

**(11 - 13%)**

### **General Leadership**

- Utilize qualitative and quantitative data in decision making.
- Take actions based on decisions made in the best interests of the association and, when appropriate, take risks.
- Practice and demonstrate collaborative leadership.
- Promote an organizational culture that is sensitive and responsive to the needs, interests, and values of the entire membership.
- Integrate the interests and goals of stakeholders to achieve success for the association.
- Support and reinforce the board's stewardship responsibilities.

### **Ethics**

- Lead by example through maintaining the highest degree of personal integrity and professional ethics and identify/resolve ethical dilemmas.
- Adhere to the American Society of Association Executive's Standards of Conduct.
- Establish and implement conflict of interest policies.

### **Diversity**

- Ensure that association communications, programs, products, and services reflect sensitivity to diversity (e.g., race, ethnicity, gender, religion, age, sexual orientation, nationality, disability, appearance, geographic location, professional level).
- Create a climate of inclusiveness that promotes understanding and respect for diversity.

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## **Interpersonal Relationships and Dynamics and Group Facilitation**

- Support individuals' professional and personal development (e.g., mentoring, career counseling and advancement, leadership development).
- Coach and mentor staff, board, and members and model appropriate skills in interactions with these groups.
- Provide opportunities to develop interpersonal skills and cross-cultural competence.
- Promote and facilitate individual participation, contributions, and ownership toward group efforts and decisions.
- Provide informed consultation to the board to facilitate board activities, process, and objectives.

## **Negotiating**

- Practice and ensure the use of effective and ethical negotiation skills for self and others (e.g., to resolve conflict, to achieve consensus).
- Coach and model the use of negotiation skills in contract negotiations and other interactions.
- Utilize mediation to resolve conflicts, where appropriate.

## **Domain 4: Administration**

**(12 - 14%)**

### **Human Resources**

- Maintain a work environment that fosters staff teamwork, communications, efficiency, and effectiveness.
- Ensure clear delineation of accountability and organizational responsibilities within the office.
- Promote work/life balance for staff.
- Develop, implement, and evaluate personnel policies and procedures.
- Recruit, hire and train association staff.
- Supervise and coach staff and provide job descriptions based on essential competencies needed to perform effectively.
- Provide formal performance review process.
- Discipline and/or terminate association staff.
- Develop, implement, and manage compensation administration program.
- Comply with municipal, state, and federal laws related to employment (e.g., ADA, Family Medical Leave Act).
- Evaluate association work procedures and systems and implement improvements, as necessary.

### **Technology**

- Identify and contract for technology consultation and technical support services.
- Determine the appropriate information technology system (i.e., information systems, databases, communication technologies, web technologies) needed to support association goals and activities.
- Oversee the selection, purchase, installation, maintenance, and upgrading of information technology.
- Conduct ongoing analysis to confirm that information technology system is performing in line with staff and member needs and expectations.
- Develop and implement policies and procedures to maintain system security and integrity.
- Identify areas in which new technology tools can improve design, development, and delivery of products and services.

### **Legal**

- Identify, retain, and effectively manage legal counsel.
- Review and ensure proper use and execution of contracts, including employment contracts.
- Develop policies and procedures to ensure compliance with local, state, and federal laws.
- Monitor association actions and activities to protect not-for-profit status and compliance with antitrust laws.
- Maintain required documents (e.g., articles of incorporation, bylaws, minutes, and contracts).
- Maintain appropriate insurance coverage to protect the fiduciary interests of the association, members, and staff.
- Ensure that the association's intellectual property is protected.

### **Facilities Management**

- Develop and implement an organization-wide continuity plan to protect human and physical assets of the organization in case of a disaster.

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- Maintain proper security for the workplace and develop and implement crisis prevention and safety programs.
- Evaluate the benefits of owning and leasing options for association facilities and equipment.
- Ensure an accessible work environment that is compliant with ergonomic and ADA guidelines.

#### **Vendor/Supplier Management**

- Determine the benefits, implications, feasibility, and advisability of outsourcing association functions.
- Establish procedures for the appropriate utilization and evaluation of requests for proposals (RFPs).
- Establish procedures and criteria for reviewing the performance of vendors, suppliers, and consultants.

### **Domain 5: Knowledge Management**

**(5 - 7%)**

#### **Knowledge Management System**

- Identify the diverse information needs and preferences of the association's membership and other stakeholders.
- Develop, implement, and manage a knowledge management (KM) program to advance association goals and objectives and serve stakeholder information needs through the dissemination of intellectual and knowledge-based assets.
- Utilize the knowledge management system to share leading edge profession or industry learning, insight, and best practices and deliver high-quality products and services with speed, efficiency, and effective customer service.
- Assemble, review and repackage information in a timely fashion for customized responses to requests for information.
- Conduct ongoing evaluation of KM services based on quantitative and qualitative data to assess and manage knowledge assets and support continuous improvement.

#### **Professional Development Programs and Delivery Systems**

- Evaluate and plan the use of multiple methods and delivery systems (e.g., face-to-face seminars, distance learning, self-directed learning, web-based courses).
- Develop and enhance the content of professional development products and integrate various delivery systems.
- Incorporate an understanding of the conditions necessary for successful adult learning into the planning and development of professional development offerings.
- Plan and implement procedures and preventive education to help members maintain compliance with laws and regulations (e.g., in-service training for members).

### **Domain 6: Governance And Structure**

**(10 - 12%)**

#### **Volunteer Structure**

- Establish, integrate, and maintain an effective and representative governance system (e.g., officers, board of directors, executive committee, nominating committee, house of delegates) to guide the mission of the association.
- Establish and maintain an effective system of organizational units (e.g., committees, task forces, sections, special interest groups) to develop and/or implement the mission of the association.
- Work with board to develop a volunteer leadership succession plan.
- Serve as liaison with the board and executive committee to achieve the association's goals.
- Conduct on-going review of governance documents (e.g., association constitution, bylaws) to ensure that they reflect current practice in association management.
- Identify and propose effective and flexible ways for communicating and conducting meetings (using technology, where appropriate) to facilitate the activities of the association's board of directors, committees, task forces, and special interest groups.
- Establish and maintain an appropriate volunteer recruitment, training, recognition, and accountability system.
- Educate and orient board members, volunteers, and staff regarding their respective roles and responsibilities.

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## **Chapters, Divisions, Interest Groups, and Communities of Practice**

- Determine policies and criteria regarding the formation of association chapters, divisions, interest groups, and communities of practice.
- Develop and implement effective relationships, delineating, where appropriate, lines of authority and responsibility vis a vis association chapters, divisions, interest groups, and communities of practice.
- Identify and determine the best methods for responding to the needs and interests of association chapters, divisions, interest groups, and communities of practice.
- Identify strategies for tailoring products and services to the unique needs of association chapters, divisions, interest groups, and communities of practice.
- Provide relevant and timely research to support the success and activities of association chapters, divisions, interest groups, and communities of practice.
- Utilize a variety of communication channels to facilitate regular and accurate exchange of information between the association and its chapters, divisions, interest groups, and communities of practice.

## **Domain 7: Public Policy And Government And External Relations**

**(7 - 9%)**

### **Public Policy**

- Identify and analyze the need for public policy development activities.
- Identify and foster advocacy sources that support the profession or industry and implement association-sponsored advocacy programs.
- Recommend and implement public policy programs.
- Plan, implement, and evaluate government relations programs consistent with board-approved policies.
- Monitor city, state, and national legislation and regulations.
- Report to membership and other interested parties on the current political environment, the actions of relevant regulatory bodies, and the impact of proposed and enacted legislation to their bottom line and operations.
- Manage association lobbying activities, including the identification and retention of registered lobbyists.
- Determine the advisability of, establish, and manage political action committees (PACs).
- Determine the need for, and feasibility of, grass roots activities and implement and evaluate such activities.

### **Coalition Building**

- Identify and bring together groups with a common interest to develop a plan to reach mutual goals.
- Communicate mutually advantageous goals and objectives to appeal to new allies.
- Form short- and long-term coalitions to address single, time-limited or long-term issues of common interest.
- Develop a coalition-building model that is responsive and flexible and which may include partnerships, alliances, and/or informal and formal relationships.

## **Domain 8: Membership**

**(10 -12%)**

### **Member Relations**

- Strategically position members in relation to the media, government, and public affairs.
- Integrate the context and cultural norms of potential members, partners, and other stakeholders into outreach efforts.
- Create a variety of opportunities for member contribution to association activities and advancement (e.g., focused, short-term volunteer opportunities; committee participation, leadership roles).
- Develop communication strategies to keep members engaged and informed.
- Ensure compliance with the association's privacy policy.

### **Membership Recruitment and Retention**

- Conduct needs analysis to determine current members' needs in the context of the association's mission and objectives.
- Plan and implement membership recruitment and retention program (e.g., resources, logistics, audiences, design and content, pilot testing, integration with other programs and services, legality) based on the strategic plan and results of the needs analysis.

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- Utilize market segmentation and targeting to develop appropriate strategies, messages, and delivery vehicles for current and potential members.
- Communicate the value and relevance of the association to diverse populations of members and potential members.
- Evaluate member recruitment and retention utilizing a variety of measures, including customer satisfaction and new member and renewal volume and revenue.

### **Globalization**

- Analyze the impact of global, social, cultural, and economic trends on the association.
- Investigate applicable laws, regulations, ethical standards, and cultural and language differences in countries in which the association is planning to, or currently conducting, business.
- Consider the implications and feasibility of expanding association membership beyond current national borders, including the development of international partnerships, alliances, and relationships.

## **Domain 9: Programs, Products, And Services**

**(12 - 13%)**

### **Development of Programs/Products/Services**

- Identify and prioritize the need for programs/products/services based on the association's goals and the needs and interests of members and stakeholders.
- Conduct needs assessment/market research to evaluate the feasibility of introducing, modifying, or discontinuing programs/products/services.
- Create a program/product/service development and implementation plan (e.g., resources, logistics, audiences, design and content, pilot testing, integration with other programs and services, legality).
- Develop marketing plans for programs/products/services.
- Conduct periodic review and evaluation of programs/products/services and make recommendations regarding maintenance, improvement, or discontinuation.
- Identify, develop, and monitor revenue sources (e.g., membership dues, sales, programs, grants).

### **Fundraising/Development Programs**

- Identify qualitative and quantitative data and motivating factors associated with giving, and incorporate these factors into development strategies, including determination of appropriate fundraising vehicles.
- Develop a management plan specific to fundraising (e.g., target groups, fundraising vehicles, volunteers needed, impact, costs, risks, recognition, legal aspects).
- Develop criteria for establishing foundations and endowments within the not-for-profit legal structure and the philosophy and strategies of the association and ensure that funds are spent in accordance with the donors' intent.

### **Meeting and Event Planning**

- Determine meeting/event program, format, and speakers based on meeting/event purpose, content and audience; develop contracts; and use standard planning tools (e.g., meeting/event profile and specifications report, meeting timetable, convention resume, sleeping room pick-up report, function sheets).
- Evaluate options for site selection, taking into consideration food and beverage, hotel accommodations, security, insurance, etc. and contract with facility for rates, date, space and services.
- Employ strategies to enhance revenue generated by the meeting/event and minimize attrition.
- Develop Internet-based tools and resources to provide the association with data for decision-making and assist attendees in accessing information about the meeting/event.
- Provide on-site management for meeting/event operations (e.g., registration, information desk, food and beverage set-ups, scheduled speakers, events).
- Conduct post-meeting/event evaluation, including a survey of attendees, vendors, and exhibitors and a review of the financial results.

### **Technical Journals and Publications**

- Identify the need for technical journals and publications in specific areas of association interests.
- Develop a publication management system with appropriate editorial and peer review structure.

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- Determine the most effective and feasible publication format (e.g., print, electronic) based on the type of information, the time sensitivity, and intended audience.
- Periodically review and assess publication quality, usefulness, and relevance, and implement changes as appropriate to meet revised publication goals and objectives.

#### **Ethics/Self Regulation Programs**

- Implement and manage an association ethics and discipline program.
- Foster an environment in which members are encouraged to identify and adhere to high standards of ethical behavior.
- Plan and implement procedures and preventive education to help members maintain compliance with the association's ethical standards.
- Monitor and evaluate the impact of professional and industry practices on the public good.

#### **Standard-Setting Programs**

- Investigate the legal implications and liabilities associated with standard-setting activities.
- Develop, implement, and manage voluntary standards program.
- Maintain currency of the standards program by periodic review and monitoring.

#### **Industry Awards and Member Recognition Programs**

- Identify and analyze need for industry awards and member recognition programs.
- Develop, implement, manage, and evaluate industry awards and member recognition programs.

#### **Credentialing (Certification, Accreditation, and Licensure)**

- Investigate and evaluate the legal implications and liabilities associated with credentialing programs.
- Develop, implement, and manage credentialing programs, including credential renewal and revocation procedures, and maintenance of records of credential status.
- Ensure that credentialing programs meet technical standards (e.g., tests are psychometrically sound).

#### **Affinity Programs (E.G., Endorsements, Joint Ventures, Sponsorship)**

- Determine policies and criteria for selecting, sponsoring, and continuing affinity programs.
- Develop, implement, manage, and evaluate affinity programs.

### **Domain 10: Public Relations And External Communications**

**(6 - 7%)**

#### **Public Relations Programs**

- Identify the target groups and individuals that must be positively influenced to achieve the goals of the association.
- Plan, implement, and evaluate a credible public relations education and information program to positively influence groups and individuals and enhance public trust.
- Develop a crisis communications and management plan.
- Manage and execute appropriate responses to media inquiries.

#### **Non-Technical Publications and Other Media**

- Evaluate consumer and trade media outlets (e.g., television, radio, print, web-based) and develop and implement media approaches to advance the association's goals.
- Integrate the publications program to achieve the editorial mission and develop a variety of publications, media programs and delivery systems to meet the diverse needs and interests of members and stakeholders.
- Manage or outsource publications and other media and determine the most effective and feasible publication format (e.g., print, electronic) based on the type of information, time sensitivity, and intended audience.
- Plan, implement, and monitor the strategy and applications associated with association website development and maintenance.

## HOW DO I PREPARE FOR THE TEST?

The CAE Commission offers the following suggestions for preparing for the test: Review the test content outline and ask yourself the following questions:

- Do I have a good understanding of the content area?
- Do I use this knowledge area regularly at work?

Plan your studying based on your answers to these questions. For example, for content areas you have a good understanding of and use every day, you may only need to do a quick review to prepare for the test, whereas for areas with which you are less familiar, you may decide that you need more in-depth study or training before taking the test.

When planning your studying, you should also think about what percentage of the test questions will cover each major content area (this information is included on the exam content outline which begins on page 7). If you are not very familiar with a content area that will include a significant proportion of the test questions, you probably should spend some additional time studying this area.

Decide which resources will best help you to prepare for the test. The references listed in the Authoritative Literature below may be helpful when you are reviewing the content areas included on the test. (Note: The listing of these references is intended for use as a study aid only. The CAE Commission does not intend the list to imply endorsement of specific texts, nor are the questions on the test taken directly from these texts.)

You may choose to study on your own or you may decide to take a seminar/workshop to gain a better understanding of one or more content areas. If you know other individuals in your area who are taking the test, you may want to form a study group. Many association executive societies provide formal preparation courses or other candidate support. For more details, visit [www.asaenet.org](http://www.asaenet.org) or contact the association executives' society in your area.

### The CAE Authoritative Literature

The following is the CAE Authoritative Literature, a list of references that may be helpful in reviewing for the test. This list is intended for use as a study aid only. The CAE Commission does not intend the list to imply endorsement of these specific references, nor are the test questions necessarily limited to these sources. The CAE Commission reviews the Authoritative Literature on an annual basis. This list was updated in January 2008. The list is presented organized by the ten domains of the exam content outline, followed by an alphabetic bibliography.

#### Domain 1: Strategic Management

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Cox, John B., ed. *Professional Practices in Association Management*. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Ernstthal, Henry L. *Principles of Association Management*. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2001.

Jacobs, Jerald A. *Association Law Handbook*. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2007.

#### Domain 2: Planning And Research

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ASAE. *Conducting Marketing and Industry Research, An ASAE Background Kit*. Washington, DC: American Society of Association Executives, 1998.

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Cox, John B., ed. **Professional Practices in Association Management**. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Dalton, James G., Jennifer Jarratt, and John B. Mahaffie. **From Scan to Plan: Integrating Trends Into the Strategy-Making Process**. Washington, DC: American Society of Association Executives, 2003.

Ernstthal, Henry L. **Principles of Association Management**. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2001.

Gordon, Gerald L. **Strategic Planning for Association Executives**. Washington, DC: American Society of Association Executives, 1997.

Jacobs, Jerald A. **Association Law Handbook**. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Meir, Dan. "The Seven Stages of Effective Survey Research". Chicago, IL: American Marketing Association, 2002. Available at: <http://www.marketingpower.com/live/content14402.php>

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### Domain 3: Leadership

Cox, John B., ed. **Professional Practices in Association Management**. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Ernstthal, Henry L. **Principles of Association Management**. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2001.

Hesselbein, Frances, Marshall Goldsmith, and Iain Somerville, eds. **Leading for Innovation: And Organizing for Results**. San Francisco, CA: Jossey-Bass, Inc., 2002.

Seglin, Jeffrey L. **The Good, The Bad and Your Business - Choosing Right When Ethical Dilemmas Pull You Apart**. New York, NY: Jeffrey L. John Wiley & Sons, 2000.

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### Domain 4: Administration

Cox, John B., ed. **Professional Practices in Association Management**. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Jacobs, Jerald A. **Association Law Handbook**. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Barbeito, Carol. **Human Resources Policies and Procedures for Nonprofit Organizations**. Hoboken, NJ: John Wiley & Sons, 2004.

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### Domain 5: Knowledge Management

Davenport, Thomas H., and Lawrence Prusak. **Working Knowledge: How Organizations Manage What They Know**. Boston, MA: Harvard University Press, 1998.

Tracey, Terri, and Kathleen M. Edwards, eds. **Core Competencies in Association Professional Development**. American Society of Association Executives, 2005.

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### Domain 6: Governance And Structure

Carver, John, and Miriam M. Carver. **Reinventing Your Board**. San Francisco, CA: Jossey-Bass Inc., 1997.

Connors, Tracy D., ed. **The Volunteer Management Handbook**. New York, NY: John Wiley & Sons, Inc., 1999.

Cox, John B., ed. **Professional Practices in Association Management**. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2007.

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Ernstthal, Henry L. ***Principles of Association Management***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2001.

Jacobs, Jerald A. ***Association Law Handbook***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Kastner, Michael E., ed. ***Creating and Managing an Association Government Relations Program***. Washington DC: American Society of Association Executives, 1998.

Tecker, Glenn H., Kermit M. Eide, and Jean S. Frankel. ***Building a Knowledge-Based Culture***. Washington, DC: American Society of Association Executives, 1997.

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### **Domain 7: Public Policy And Government And External Relations**

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Cox, John B., ed. ***Professional Practices in Association Management***. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Ernstthal, Henry L. ***Principles of Association Management***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2001.

Guyer, Robert L. ***Guide to State Legislative Lobbying***. Gainesville, FL: Engineering THE LAW, Inc., 2000.

Kastner, Michael E., ed. ***Creating and Managing an Association Government Relations Program***. Washington DC: American Society of Association Executives, 1998.

Jacobs, Jerald A. ***Association Law Handbook***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2007.

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### **Domain 8: Membership**

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Cox, John B., ed. ***Professional Practices in Association Management***. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Ernstthal, Henry L. ***Principles of Association Management***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2001.

Jacobs, Jerald A. ***Association Law Handbook***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Levin, Mark. ***Millennium Membership: How to Attract and Keep Members in the New Marketplace***. Washington DC: American Society of Association Executives, 2000.

Nicolais, Susan, ed. ***Membership Marketing***. Washington, DC: American Society of Association Executives, 2000.

Toth, Lorili, ed. ***Member Services***. Washington, DC: American Society of Association Executives, 2001.

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### **Domain 9: Programs, Products, And Services**

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Cox, John B., ed. ***Professional Practices in Association Management***. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Ernstthal, Henry L. ***Principles of Association Management***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2001.

Jacobs, Jerald A. ***Association Law Handbook***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Finkel, Coleman L. ***New Conference Models for the Information Age***. Washington, DC: American Society of Association Executives, 1998.

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Knapp, Lenora G., and Joan E. Knapp. ***The Business of Certification: A Comprehensive Guide to Developing a Successful Program***. Washington, DC: American Society of Association Executives, 2002.

Shuping, Frances, ed. ***A Guide to Periodicals Publishing for Associations***. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2005.

#### **Domain 10: Public Relations And External Communications**

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Shuping, Frances, ed. ***A Guide to Periodicals Publishing for Associations***. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2005.

Cox, John B., ed. ***Professional Practices in Association Management***. 2<sup>nd</sup> ed. Washington, DC: American Society of Association Executives, 2007.

Ernstthal, Henry L. ***Principles of Association Management***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2001.

Jacobs, Jerald A. ***Association Law Handbook***. 4<sup>th</sup> ed. Washington, DC: American Society of Association Executives, 2007.

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- Barbeito, Carol. **Human Resources Policies and Procedures for Nonprofit Organizations.** Hoboken, NJ: John Wiley & Sons, 2004.
- Carver, John, and Miriam M. Carver. **Reinventing Your Board.** San Francisco, CA: Jossey-Bass Inc., 1997.
- Connors, Tracy D., ed. **The Volunteer Management Handbook.** New York, NY: John Wiley & Sons, Inc., 1999.
- Cox, John B., ed. **Professional Practices in Association Management, 2nd ed.** Washington, DC: American Society of Association Executives, 2007.
- Dalton, James G., Jennifer Jarratt, and John B. Mahaffie. **From Scan to Plan: Integrating Trends Into the Strategy-Making.** Washington, DC: American Society of Association Executives, 2003.
- Davenport, Thomas H., and Lawrence Prusak. **Working Knowledge: How Organizations Manage What They Know.** Boston, MA: Harvard University Press, 1998.
- Ernstthal, Henry L. **Principles of Association Management, 4th ed.** Washington, DC: American Society of Association Executives, 2001.
- Finkel, Coleman L. **New Conference Models for the Information Age.** Washington, DC: American Society of Association Executives, 1998.
- Gordon, Gerald L. **Strategic Planning for Association Executives.** Washington, DC: American Society of Association Executives, 1997.
- Guyer, Robert L. **Guide to State Legislative Lobbying.** Gainesville, FL: Engineering THE LAW, Inc., 2000.
- Hesselbein, Frances, Marshall Goldsmith, and Iain Somerville, eds. **Leading for Innovation: And Organizing for Results** San Francisco, CA: Jossey-Bass, Inc., 2002.
- Jacobs, Jerald A. **Association Law Handbook, 4th ed.** Washington, DC: American Society of Association Executives, 2007.
- Kastner, Michael E., ed. **Creating and Managing an Association Government Relations Program.** Washington, DC: American Society of Association Executives, 1998.
- Knapp, Lenora G., and Joan E. Knapp. **The Business of Certification: A Comprehensive Guide to Developing a Successful Program.** Washington, DC: American Society of Association Executives, 2002.
- Levin, Mark. **Millennium Membership: How to Attract and Keep Members in the New Marketplace.** Washington, DC: American Society of Association Executives, 2000.
- Meir, Dan. **"The Seven Stages of Effective Survey Research".** Chicago, IL: American Marketing Association, 2002.
- Nicolais, Susan, ed. **Membership Marketing.** Washington, DC: American Society of Association Executives, 2000.
- Seglin, Jeffrey L. **The Good, The Bad and Your Business - Choosing Right When Ethical Dilemmas Pull You Apart.** New York, NY: Jeffrey L. John Wiley & Sons, 2000.

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Tecker, Glenn H., Kermit M. Eide, and Jean S. Frankel. **Building a Knowledge-Based Culture**. Washington, DC: American Society of Association Executives, 1997.

Toth, Lorili, ed. **Member Services**. Washington, DC: American Society of Association Executives, 2001.

Tracey, Terri, and Kathleen M. Edwards, eds. **Core Competencies in Association Professional Development**. Washington, DC: American Society of Association Executives, 2005.

## TAKING THE TEST

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### WHAT ARE THE REQUIREMENTS DURING THE TEST?

The test will be given under strict security. You will be required to show photo identification in order to enter the testing room and trained proctors will supervise the test. Irregularities observed during the test, such as creating a disturbance, giving or receiving unauthorized information or aid to or from other examinees, or attempting to remove test materials or notes from the testing room, may be sufficient cause to end your participation in the test, or to invalidate your scores. Irregularities may be identified by observation or suspicion by the test proctors or may be evidenced by subsequent statistical analysis of answer sheets. The CAE Commission reserves the right to investigate each incident of misconduct or irregularity.

#### Test Site Requirements

1. You will receive a confirmation email no later than one week prior to the exam detailing your exam registration. You must be properly registered, listed on the test site roster, and present photo identification (e.g., driver's license) at the test site in order to be allowed to take the test. No exceptions to this requirement will be made.
2. You should arrive at the test center approximately thirty (30) minutes to one (1) hour prior to the test to allow sufficient time for you to check-in and locate your seat. Late arrivals cannot be admitted to the test.
3. You may not use devices with memory capabilities. Audible beepers, cellular phones, or unapproved books or papers will not be allowed in the testing room. Note taking is prohibited during the test.
4. Unauthorized visitors will not be allowed at the test site. Observers approved by the CAE Commission may, however, be present during the testing session.
5. Only water will be allowed in the testing room. All other materials, food and beverages are prohibited.

Before you take the test, you will be asked to sign the following statement: *“Due to the confidential nature of this test, I agree that I will not copy or retain test questions or transmit them in any form to any other person or organization.”* If you do not sign this statement, you may be dismissed from the testing center or your test results may be invalidated. The theft or attempted theft of the test or the copying or disclosure of test questions is punishable by law.

## **SAMPLE EXAMINATION QUESTIONS**

The CAE examination is a knowledge-based, paper-and-pencil examination consisting of 200 multiple-choice questions administered in a single four-hour time frame. The following questions have been selected for inclusion in candidate materials as sample questions. These questions have a proven record of psychometric performance on past CAE exams and are indicative of the quality of questions asked on the CAE exam. While these sample questions are intended to give candidates a better sense of CAE questions, the actual examination may include these and other similar types of questions in varying proportions. The answers to these sample questions are given at the end of this handbook.

**1. An annual fund campaign is the most effective approach for**

- A. raising funds to meet current financial needs
- B. developing funds to meet future financial needs
- C. meeting financial goals for a specified purpose
- D. helping donors meet annual requirements for asset distribution

**2. A volunteer-driven association is most often found in what stage of association development?**

- A. Embryonic
- B. Early growth
- C. Mature
- D. Aging

**3. Which of the following factors is the most important in developing product standards programs?**

- A. Structuring the program so that members' products meet the standards
- B. Using members to develop the standards
- C. Developing an impartial process for complaints and appeals
- D. Developing a communications plan to inform the industry of the new standards

**4. An association member declares candidacy for a congressional seat and asks for the association's support. Which of the following association activities is most likely to endanger its tax exemption under Internal Revenue Service Code 501(c)(3)?**

- A. Publishing an article discussing the pros and cons of the issues
- B. Distributing pamphlets in support of the candidate
- C. Circulating nominating petitions on behalf of all candidates
- D. Hosting a forum in which the candidate and opponent debate issues

**5. As a series of meeting on product liability progresses, there is agreement on three out of five critical points. At this stage, it is appropriate for CSE to**

- A. review the decisions to date and secure direction on the remaining issues
- B. publicize progress to date to members
- C. request guidance from the regulatory agency on the remaining issues
- D. seek favorable trade media coverage of the purpose of the negotiations

**6. The provisions of the Family and Medical Leave Act must be incorporated as policy in associations with a minimum of how many employees?**

- A. 15
- B. 30
- C. 50
- D. 150

**7. An association is budgeting for a workshop. If fixed costs are \$10,000, variable costs per registrant are \$100, and the tuition is \$300 per registrant, how many registrants are needed for the workshop to break even?**

- A. 50
- B. 150
- C. 300
- D. 500

**8. The diversity committee of an association asks the chief staff executive to report on the diversity of the professional staff. It is found that 30% of the staff are female, 10% are African American, and 20% are Hispanic. Exempt positions are held solely by Caucasian males. What is the most appropriate approach to achieving diversity at senior levels?**

- A. Evaluate employees solely on their capacity to understand and meet members' needs.
- B. Conduct a cultural audit and recommend that supervisory staff attend diversity awareness training.
- C. Recommend that association leadership incorporate valuing diversity as a primary goal of the strategic plan.
- D. Identify diverse candidates and eliminate barriers to successful performance and advancement for all staff.

**9. An association is preparing to launch a fund-raising campaign focusing on corporate contributions. What is the best first step in developing an effective solicitation program?**

- A. Secure mailing lists of potential contributors.
- B. Research the contribution policy and budget of each corporation.
- C. Create a case for supporting the campaign.
- D. Meet with key leaders face-to-face and ask for contributions.

**10. The main purpose of the statement of financial position is to provide a summary of which of the following?**

- A. Revenues and expenses for a given period
- B. Assets and liabilities
- C. Realized and unrealized gains on securities
- D. Direct and indirect operating costs

**11. Association staff have discovered that committee members tend to represent the association's old guard and are not representative of the newer members. Which of the following actions is most likely to remedy this problem?**

- A. Altering the committee and chair appointment process
- B. Strengthening the staff liaison role
- C. Strengthening the board liaison role
- D. Implementing a committee member/chair orientation training program

**12. When arguing in favor of industry self-regulation over government regulation, it is most effective to propose that industry self-regulation**

- A. is more consumer-driven
- B. can be more effectively enforced
- C. ensures a higher level of competency
- D. costs less and involves more expertise

**13. A 501(c)(6) organization can establish a 501(c)(3) organization to**

- A. create a tax shelter
- B. conduct educational research
- C. lobby the federal government
- D. operate association affinity programs

**14. At a general membership meeting of an association, a member recommends to all attendees that their companies discontinue doing business with a particular supplier until the supplier changes its pricing practices. The member also urges the association to get the word out to the entire membership. What is the most appropriate way for the chief staff executive to respond to the member's statements?**

- A. Stop the discussion, explain why the attendees should disregard the comments, and move on to the next agenda item.
- B. Suggest that the presiding officer disregard the member's request.
- C. Ask the presiding officer to take a vote on the member's request.
- D. After the meeting, contact the association's attorney to see if there is any action the association should take.

**15. When developing a needs assessment survey, the chief staff executive should first**

- A. set objectives
- B. hire a survey specialist
- C. determine the sample size
- D. determine the research instrument

**16. Ideally, professional development opportunities for employees should be identified by which of the following individuals or entities?**

- A. The employee alone
- B. The employee in consultation with the supervisor
- C. The human resource department
- D. The chief staff executive

**17. The new chief staff executive of a 50-employee association has asked the human resources manager to create a number of options to improve teamwork. Which of the following options would be most effective?**

- A. Create cross-functional staff committees to address association issues.
- B. Conduct a seminar on teamwork for the entire staff.
- C. Speak to staff directors individually and ask them to work together to resolve the problem.
- D. Create social opportunities for staff interaction.

**18. The primary types of budgets used by associations are**

- A. revenue and expense
- B. revenue and capital
- C. personnel, revenue, and capital
- D. annual operating, cash flow, and capital

**19. Although associations are tax exempt under Internal Revenue Service (IRS) regulations, the IRS may require them to pay income tax on**

- A. conference registrations
- B. investment income
- C. membership dues
- D. group purchasing services

**20. Which of the following is a system for organizing ongoing financial data?**

- A. Statement of financial position
- B. Statement of cash flows
- C. Chart of accounts
- D. Annual audit

**21. Which of the following adverse consequences will most likely arise when an association concentrates primarily on generating income?**

- A. Loss of member focus
- B. Loss of tax-exempt status
- C. Decreased volunteer participation
- D. Increased taxation from non-related business income

**22. Following a major change in customer demands, a national 501(c)(6) association is reviewing its mission. What should be the first step in the review process?**

- A. Conduct a membership survey to get member input.
- B. Begin an environmental scan to establish the current state of the industry.
- C. Establish a committee to determine the long-term vision of the organization.
- D. Retain an outside consultant to facilitate the process.

**23. The board chair-elect proposes that an association undertake a \$100,000 direct mail campaign to generate sales leads for distributor members during the next year. No funds are available for the project at this time. The most appropriate next step is to**

- A. delay review of the proposal until the next budget cycle
- B. determine how the proposal fits into the context of the association's strategic plan
- C. initiate a special dues assessment for distributor members to generate funds for the campaign
- D. reduce other direct mail campaigns and allocate the savings to the new campaign

**24. Effective consensus building requires that**

- A. decisions be based on majority opinion
- B. participants willingly accept the group's general agreement
- C. everyone in the group must agree
- D. everyone must meet face-to-face

**25. Six weeks prior to an association's annual convention, the association's CEO requests that the CSE replace the contracted keynote with a speaker specified by the CEO. The CSE's most appropriate initial response is to**

- A. consult with the education staff to determine what is necessary to comply
- B. explain that the association is contractually obligated to the original speaker
- C. determine what the officer is trying to accomplish by changing the speaker
- D. state that this issue should be taken to the board of directors

**26. What is the primary motivator in retaining quality staff?**

- A. Above average salary
- B. Comprehensive benefit plan
- C. State of the art working conditions
- D. Relationship with direct supervisor

- 27. An applicant for a national professional association's certification program submits medical documentation of a vision problem and requests a reader for the three-hour certification examination. The cost for a reader is \$25 per hour. What is the most appropriate way to handle the additional costs?**
- A. Ask the candidate to provide a reader.
  - B. Provide a reader at the candidate's cost.
  - C. Provide a reader at the association's cost.
  - D. Split the cost of a reader between the association and the candidate.
- 28. An employee of a member organization of a 501(c)(6) trade association is holding a fundraiser for a member of Congress and is requesting assistance from the association. The association can legally participate in the fundraiser by**
- A. announcing the event to the membership
  - B. making a donation to the campaign
  - C. mailing invitations to members' business addresses
  - D. mailing invitations to members' home addresses
- 29. The most important advantage associated with incorporation is**
- A. protection of tax-exempt status
  - B. enhanced credibility with the membership
  - C. provision of a formal organizational and governance structure
  - D. reduction of the personal liability of volunteer leaders
- 30. The lobbying costs of a 501(c)(6) organization are approximately 16% of expenses. The percentage of dues paid by members that may be deductible as a regular business expense is approximately**
- A. 0%
  - B. 16%
  - C. 84%
  - D. 100%
- 31. The board of directors is considering the development of an Internet-based continuing education program. One member of the board is affiliated with an educational institution that can design and deliver the training. What action should the board take first with respect to this member?**
- A. Ask the board member to abstain from voting on this issue.
  - B. Ask the board member to leave the room while the issue is discussed.
  - C. Allow the board member to be involved in the discussion and voting and put the project out to bid.
  - D. Review established board policy regarding conflicts of interest.
- 32. How would a 501(c)(6) organization disclose an estimated nondeductible lobbying percentage?**
- A. The percentage does not need to be disclosed.
  - B. The percentage must be included on the dues invoices.
  - C. The percentage can be included on either the dues invoices or in the annual report.
  - D. The percentage can be announced at the annual business meeting.

**33. Following an extensive formal rule-making process, a federal agency develops standards that are contrary to positions taken by a professional association. In the following six-month period, the association's programming activities should focus on**

- A. scheduling membership meetings to further discuss the new standards
- B. developing educational materials to assist members in complying with the new standards
- C. intensifying efforts to change the new standards
- D. establishing a governmental relations/grassroots campaign to change the new standards

**34. A professional association is formally recognizing organizations that provide training and education in the profession that it represents. Which of the following options best describes the activity?**

- A. Licensure
- B. Accreditation
- C. Certification
- D. Credentialing

**35. An association is working with a supplier to offer an affinity program to its members. To ensure that the affinity program's income remains tax nonexempt, the association should**

- A. refrain from promoting the affinity program
- B. take full responsibility for promoting the program
- C. split the promotion responsibility equally with the supplier
- D. spend less than \$1,000 in program promotion

**Questions 36-37 refer to the following information:**

**A member of a 501(c)(6) trade association in the chemical industry has been cited by the Environmental Protection Agency for pollution of ground water. The media are calling for comment.**

**36. The chief staff executive's most appropriate first step is to**

- A. convene an emergency meeting of the ethics committee
- B. issue a comment explaining the infraction
- C. express support for a full-scale clean-up
- D. recommend the immediate expulsion of the cited company from the membership

**37. As a result of this event, environmental activist groups are beginning to look at the industry. The board agrees that the association needs to improve the image of the industry and, in addition to hiring a public relations firm, endorse the creation of a community service project. The key criterion for assessing the alternatives for long-term projects is the**

- A. budget allocations for projects
- B. membership involvement in the project
- C. improved relationships between the members' plant and the media
- D. amount of positive national media attention that will be attracted

## HOW IS THE TEST SCORED?

Your performance on the test will be measured against a predetermined standard of knowledge. This standard is the basic level knowledge that can reasonably be expected of individuals with basic competence in association management. You will NOT be measured against the performance of the other individuals taking the test. This means that if everyone who takes the test meets the knowledge standard, everyone will pass.

The passing score for the CAE test is set by a national panel of experts representative of the profession. These experts review each test question, evaluate the difficulty of the question, and make a judgment as to how a professional with basic competence would perform on the question. These judgments are analyzed statistically to determine the passing score.

## WHAT INFORMATION WILL I RECEIVE ABOUT MY SCORE?

The test is designed only to distinguish those who have the basic level of knowledge from those who do not. There is no evidence that someone who receives a very high score on the test will perform significantly better on the job than someone whose score falls exactly at the passing point. Therefore, if you pass the test, you will be informed only that you have successfully completed the credentialing process. You will NOT be notified of your actual score.

If you do not achieve a passing score, you will be notified of your score and the minimum score required to pass, and will receive a diagnostic report showing your performance in each content area. This information is provided to assist you in deciding whether to retake the test and how to plan your study efforts for future tests.

## WHEN WILL I RECEIVE MY TEST RESULTS?

CAE test results will be mailed approximately 6 weeks after the test. To protect the confidentiality of your test score, no results will be given over the telephone, by email or by fax.

## APPEALS PROVISIONS

### Request for Hand Scoring

If you do not achieve a passing score on the test, you may ask that your test be rescored by hand to verify the reported score. Requests must be in writing and must be accompanied by a payment in the amount of \$75, made payable to ASAE. Requests for hand scoring can be honored only up to 30 days after distribution of the results.

### Retaking the Test

There is no limit on the number of times that you may apply for and take the test. If you do not succeed in passing the test within one year after the date on which your application is processed, you will be required to submit a new application form, fees, and meet all eligibility requirements in effect at the time of the application. There is a \$250 fee to retake the CAE exam.

### Appeals for CAE Applicants, Candidates and Recertifying Certificants (CAE Commission Standing Rules and Policies, Policy #16)

An appeal may be made by a CAE applicant, candidate or certificant only regarding the following circumstances:

- the Commission's interpretation of standards including candidate eligibility from the time of candidate inquiry or the filing of the initial application through the time of conferring of the credential;
- exam administration procedures;
- testing conditions severe enough to cause a major disruption of the examination process; and
- exam score based on exam content and/or keyed item responses;

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- the Commission's interpretation of standards required for renewal.

The applicant, candidate or certificant who wishes to make an appeal (the "Appellant") must submit an appeal in writing to the CAE Appeals Committee within thirty (30) days of receipt of notification of an adverse decision. The CAE Appeals Committee shall then meet by teleconference within 30 days of receipt of the appeal. All determinations regarding appeals must be approved by a two-thirds (2/3) vote of the Appeals Committee. Notice of the Appeals Committee determination shall be provided to the Appellant within 10 business days of the decision. The Appellant then has 30 days from receipt of the Appeals Committee determination to file a written appeal with the CAE Commission.

The appeal shall be considered at the next regularly scheduled meeting of the CAE Commission. All determinations regarding appeals must be made by two-thirds vote of the Commission. Notice of the Commission determination shall be provided in writing to the Appellant within 10 business days of the Commission meeting. The CAE Commission's determination shall be final.

For information on certification revocation and other disciplinary actions including complaints against certificants, please see CAE Commission Standing Rules and Policies, Policy #15.

#### Nondiscrimination Policy

CAE Commission does not discriminate against any person on the basis of age, gender, sexual orientation, race, religion, national origin, medical condition, physical disability, or marital status.

## **CERTIFICATION MAINTENANCE**

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Certification Maintenance is required for all Certified Association Executives (CAEs) to promote ongoing enhancement of knowledge, to encourage continued learning and professional development, and to promote continued advancement of knowledge and higher levels of excellence in association management.

Each CAE reaches their first certification renewal date by the third December 31st following the original date of certification. To maintain the certification, a CAE must accumulate 40 CAE credit hours and submit a qualifying completed Certification Renewal application by October 31 preceding certification expiration. An opportunity is provided to those requiring additional time to file their renewal form to purchase a filing extension until December 31 for an additional \$100.)

The three year certification maintenance cycle was selected to ensure that Certified Association Executives (CAEs) will be continually exposed to a variety of continued learning and professional development activities. The requirement to earn 40 CAE credit hours during each three year certification maintenance cycle promotes involvement in a variety of leadership, learning and service activities.

CAE credit hours for certification renewal may be accumulated in a wide variety of ways, and executives involved in the profession should have little difficulty maintaining the CAE certification. Qualifying activities for renewal credit include:

- Up to a maximum of 10 CAE credit hours from leadership, instruction, and writing activities including:
  - 2 CAE credit hours per year for service as an officer of an association or professional society or ASAE committee, section, or special interest group
  - 2 CAE credit hours for each course/workshop that is instructed
  - 2 CAE credit hours for each article, chapter or book written
  - 2 CAE credit hours per year for mentoring in a structured program

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- Continuing education programs as outlined for CAE applicants.

Certification renewal fees are \$185 for ASAE members/\$265 nonmembers. Special policies apply for those over 70. An inactive status option is also available. Contact the credentialing department at ASAE for details.

*Note: This handbook reflects the policies and procedures as of July 29, 2009. All policies and procedures are subject to change.*

## Answer Key for Sample Questions

### **1. A. raising funds to meet current financial needs**

*Domain 9: Programs, Products, and Services, Part B: Fundraising/Development Programs*

*Point 2: Develop a management plan specific to fundraising (e.g., target groups, fundraising vehicles, volunteers needed, impact, costs, risks, recognition, legal aspects).*

### **2. A. Embryonic**

*Domain 6: Governance and Structure, Part A: Volunteer Structure*

*Point 1: Establish, integrate, and maintain an effective and representative governance system (e.g., officers, board of directors, executive committee, nominating committee, house of delegates) to guide the mission of the association.*

### **3. C. Developing an impartial process for complaints and appeals**

*Domain 9: Programs, Products, and Services, Part F: Standard-Setting Programs*

*Point 1: Investigate the legal implications and liabilities associated with standard-setting activities.*

### **4. B. Distributing pamphlets in support of the candidate**

*Domain 4: Human Resources, Part C: Legal*

*Point 3: Develop policies and procedures to ensure compliance with local, state, and federal laws.*

### **5. A. review the decisions to date and secure direction on the remaining issues**

*Domain 3: Leadership, Part A: General Leadership*

*Point 3: Practice and demonstrate collaborative leadership.*

### **6. C. 50**

*Domain 4: Administration, Part A: Human Resources*

*Point 10: Comply with municipal, state, and federal laws related to employment (e.g., ADA, Family Medical Leave Act).*

### **7. A. 50**

*Domain 1: Strategic Management, Part C: Financial Management*

*Point 2: Develop, recommend, implement, review, and manage budgets.*

### **8. D. Identify diverse candidates and eliminate barriers to successful performance and advancement for all staff.**

*Domain 3: Leadership, Part C: Diversity*

*Point 2: Create a climate of inclusiveness that promotes understanding and respect for diversity.*

### **9. C. Create a case for supporting the campaign.**

*Domain 9: Programs, Products, and Services, Part B: Fundraising/Development Programs*

*Point 1: Identify qualitative and quantitative data and motivating factors associated with giving, and incorporate these factors into development strategies, including determination of appropriate fundraising vehicles.*

### **10. B. Assets and liabilities**

*Domain 1: Strategic Management, Part C: Financial Management*

*Point 3: Develop systems, metrics, and tools (e.g., allocation of all-cost programs, budgeting by program) for monitoring and managing financial performance.*

### **11. A. Altering the committee and chair appointment process**

*Domain 6: Governance and Structure, Part A: Volunteer Structure*

*Point 7: Establish and maintain an appropriate volunteer recruitment, training, recognition, and accountability system.*

### **12. D. costs less and involves more expertise**

*Domain 9: Programs, Products, and Services, Part F: Standard-Setting Programs*

*Point 2: Develop, implement, and manage voluntary standards program.*

### **13. B. conduct educational research**

*Domain 1: Strategic Management, Part A: General Management*

*Point 2: Identify and implement, when appropriate, other corporate entities to further the association's mission (e.g., foundations, service corporations)*

### **14. A. Stop the discussion, explain why the attendees should disregard the comments, and move on to the next agenda item.**

*Domain 4: Human Resource Management, Part C: Legal*

*Point 4: Monitor association actions and activities to protect not-for-profit status and compliance with antitrust laws.*

### **15. A. set objectives**

*Domain 2: Planning and Research, Part C: Research, Evaluation, and Statistics*

*Point 1: Develop a research agenda that benefits the internal operation of the association, advances the profession or industry, and provides needed information for members and other stakeholders (e.g., needs assessment surveys, market analyses, benchmarking studies, best practices, compensation surveys).*

### **16. B. The employee in consultation with the supervisor**

*Domain 3: Leadership, Part D: Interpersonal Relationships and Dynamics and Group Facilitation*

*Point 1: Support individuals' professional and personal development (e.g., mentoring, career counseling and advancement, leadership development).*

### **17. A. Create cross-functional staff committees to address association issues.**

*Domain 4: Administration, Part A: Human Resources*

*Point 1: Maintain a work environment that fosters teamwork, communications, efficiency, and effectiveness.*

### **18. D. annual operating, cash flow, and capital**

*Domain 1: Strategic Management, Part C: Financial Management*

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*Point 5: Establish a financial reporting system that provides clear, accurate, and complete reports for the board, staff, and members*

**19. D. group purchasing services**

*Domain 4: Strategic Management, Part C: Financial Management*

*Point 4: Monitor association actions and activities to protect not-for-profit status and compliance with antitrust laws.*

**20. C. Chart of accounts**

*Domain 1: Strategic Management, Part C: Financial Management*

*Point 2: Develop, recommend, implement, review and manage budgets.*

**21. A. Loss of member focus**

*Domain 2: Planning and Research, Part A: Strategic Planning/Strategic Thinking*

*Point 5: Ensure that association activities, operations, and business plans support the strategic goals of the organization*

**22. B. Begin an environmental scan to establish the current state of the industry.**

*Domain 2: Planning and Research, Part A: Strategic Planning/Strategic Thinking*

*Point 2: Ensure that the association has a focused and well-articulated mission and vision that is communicated to members, staff and the public*

**23. B. determine how the proposal fits into the context of the association's strategic plan**

*Domain 2: Planning and Research, Part A: Strategic Planning/Strategic Thinking*

*Point 5: Ensure that association activities, operations, and business plans support the strategic goals of the organization*

**24. B. participants willingly accept the group's general agreement**

*Domain 3: Leadership, Part D: Interpersonal Relationships and Dynamics and Group Facilitation*

*Point 4: Promote and facilitate individual participation, contributions, and ownership toward group efforts and decisions.*

**25. C. determine what the officer is trying to accomplish by changing the speaker**

*Domain 3: Leadership, Part D: Interpersonal Relationships and Dynamics and Group Facilitation*

*Part A: Take actions based on decisions made in the best interests of the association and, when appropriate, take risks.*

**26. D. Relationship with direct supervisor**

*Domain 4: Administration, Part A: Human Resources*

*Point 1: Maintain a work environment that fosters staff teamwork, communications, efficiency, and effectiveness.*

**27. C. Provide the reader at the association's cost**

*Domain 4: Administration, Part C: Legal*

*Point 3: Develop policies and procedures to ensure compliance with local, state, and federal laws.*

**28. A. announcing the event to the membership**

*Domain 4: Administration, Part C: Legal*

*Point 3: Develop policies and procedures to ensure compliance with local, state, and federal laws.*

**29. D. reduction of the personal liability of volunteer leaders**

*Domain 4: Administration, Part C: Legal*

*Point 5: Maintain required documents.*

**30. C. 84%**

*Domain 4: Administration, Part C: Legal*

*Point 4: Monitor association actions and activities to protect not-for-profit status and compliance with antitrust laws.*

**31. D. Review established board policy regarding conflicts of interest.**

*Domain 3: Leadership, Part B: Ethics*

*Point 3: Establish and implement conflict of interest policies.*

**32. B. The percentage must be included on the dues invoices.**

*Domain 7: Public Policy and Government and External Relations, Part A. Public Policy*

*Point 7: Manage association lobbying activities, including the identification and retention of registered lobbyists*

**33. B. developing educational materials to assist members in complying with the new standards**

*Domain 7: Public Policy and Government and External Relations, Part A: Public Policy*

*Point 6: Report to membership and other interested parties on the current political environment, the actions of relevant regulatory bodies and the impact of proposed and enacted legislation to their bottom line and operations.*

**34. B. Accreditation**

*Domain 9: Programs, Products and Services, Part H: Credentialing, Accreditation, and Licensure*

*Point 3: Ensure that credentialing programs meet technical standards.*

**35. A. refrain from promoting the affinity program**

*Domain 9: Programs, Products and Services, Part I: Affinity Programs*

*Point 2: Develop, implement, manage, and evaluate affinity programs.*

**36. C. express support for a full-scale clean-up**

*Domain 10: Public Relations and External Communications, Part A: Public Relations Programs*

*Point 4: Manage and execute appropriate responses to media inquiries.*

**37. D. amount of positive national media attention that will be attracted**

*Domain 10: Public Relations and External Communications, Part A: Public Relations Programs*

*Point 2: Plan, implement and evaluate a credible public relations education and information program to positively influence groups and individuals and enhance public trust.*

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