



# Certified Association Executive (CAE™) Program Candidate Handbook

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*Note: This handbook reflects the policies and procedures as of January 19, 2010. All policies and procedures are subject to change. If you have any questions or require further information, please visit [www.whatiscae.com](http://www.whatiscae.com) 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 1960 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.whatiscae.com](http://www.whatiscae.com)) as well as the information provided by ASAE's credentialing staff, who may be contacted at 202-626-2759 or [caedep@asaecenter.org](mailto:caedep@asaecenter.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&AI) of Princeton, NJ, to provide assistance in the administration of the certification program and the development of the test. K&AI is a management consulting firm that assists organizations in the development of professional certification programs.

# 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 2008-2009 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, nine knowledge domains and respective competencies that can be found on pages 8-16 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;

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- 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 in the past five years have been 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 100 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. 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

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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.whatiscae.com](http://www.whatiscae.com) 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 regularly scheduled regional examination centers throughout the U.S. based on anticipated candidate concentration. 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@asaecenter.org](mailto:caedep@asaecenter.org). Please note that all

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examination sites are subject to the availability of facilities that meet the CAE Commission's testing standards and minimum enrollment numbers.

### **HOW ARE REASONABLE ACCOMODATIONS 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 2008-2009 resulted in the Exam Content Outline, which organizes competencies deemed essential to association management into nine knowledge domains.

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

The composition of the exam is guided by extensive research on the job competencies 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 nine major content areas of the test which will be used to guide the composition of the CAE exam effective May 2010 through December 2014, with an indication (in parentheses) of the approximate percentage of the test devoted to each area:

#### **Domain 1: ORGANIZATIONAL MANAGEMENT (14 -16%)**

##### **A. General Management**

1. Define the association's core competencies and align operations and activities to capitalize on these competencies.
2. Identify and implement strategic mergers, acquisitions, and partnerships with other entities to position the association to most effectively accomplish its mission.
3. Develop and analyze internal (operational) and external (leadership and membership) performance metrics to optimize the association's operations and activities.
4. Institute a comprehensive leadership succession plan that builds on established strengths to position the association for the future.
5. Establish core values to provide a framework for effectively managing the association.
6. Develop and implement strategies to manage change and promote innovation.

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7. Employ project management processes based on quantitative and qualitative measures so that activities can be conducted effectively and efficiently.
8. Implement quality control procedures to improve operations and stakeholder satisfaction.
9. Facilitate staff acquisition of state-of-the-art knowledge of association management practices to position the association to meet future challenges.

**B. Branding and Positioning**

1. Utilize environmental scan data to inform the development of branding and positioning strategies.
2. Identify the association's unique value proposition to correctly position the association.
3. Integrate the association's brand in all programs, services, and activities to reinforce the association's unique position.

**C. Financial Management**

1. Develop, recommend, and manage budgets to achieve strategic planning objectives.
2. Implement systems, metrics, and tools to monitor and manage financial performance.
3. Establish a user-friendly financial reporting system for the association, and any subsidiary corporations, to provide financial transparency to the board, staff, and members.
4. Implement a policy of independent periodic review and audit of the association's finances to identify weaknesses and capitalize on strengths.
5. Recommend, implement, and manage investment and reserve policies to enhance and protect the financial security of the association.
6. Evaluate the impact of economic and budget factors to effectively guide financial planning, investment policies, and financial performance.
7. Develop and establish policies and procedures to ensure strong internal financial controls to prevent financial/accounting irregularities and inappropriate funds accounting.

**D. Globalization**

1. Analyze, interpret, and communicate the impact of global macro trends (social, cultural, and economic) on the association and its key stakeholders to comprehend present position and to anticipate future needs.
2. Evaluate opportunities to grow the association's reach and impact, taking into consideration research, trends, and legal considerations, with the goal of identifying whether and how business should be expanded globally.
3. Assess the implications of globalization on the association's members, programs, and services to ensure relevance in the global marketplace.

**E. Strategic Planning and Thinking**

1. Establish and implement a strategic planning process based on sound methodological principles to advance the association's mission and vision.
2. Communicate the mission and vision to members, staff, and the public to gain support and encourage participation in association programs and services.
3. Assist the board in setting and implementing short- and long-term association priorities, based on a strategic planning process, to target and allocate resources.
4. Extrapolate data from a variety of sources to develop strategies and tactics that achieve business goals and objectives.
5. Identify and use performance metrics to evaluate, on an ongoing basis, the effectiveness of the strategic plan and revise plan as necessary.
6. Develop funding strategies to address current and future needs and requirements identified in the strategic plan.

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**Domain 2: LEADERSHIP****(14-16%)****A. General Leadership**

1. Utilize qualitative and quantitative data to guide decision making.
2. Engage in collaborative leadership with stakeholders to achieve mutually beneficial outcomes.
3. Establish an organizational culture that is sensitive and responsive to the needs, interests, and values of the entire membership.
4. Provide guidance to board members and volunteer leadership to assist them in fully executing their responsibilities.
5. Integrate strategic leadership and calculated risk taking to achieve the long-term goals of the organization.

**B. Ethics**

1. Comply with the American Society of Association Executive's Standards of Conduct to model ethical behavior.
2. Maintain the highest degree of personal integrity in order to resolve ethical dilemmas.
3. Establish and implement conflict of interest policies for board and staff to insure transparency.

**C. Diversity**

1. Ensure that association communications, programs, products, and services reflect diversity to address and take into account the unique aspects of diverse populations.
2. Create a climate of inclusiveness to promote understanding and respect for diversity.

**D. Interpersonal Skills and Group Facilitation**

1. Advance staffs' professional and personal development through coaching, mentoring, career counseling and leadership development in order to build a stronger organization.
2. Coach and mentor volunteer leaders and association staff to develop their interpersonal skills to increase their effectiveness.
3. Facilitate individual participation and ownership in group decision-making and consensus building to increase board and staff effectiveness.
4. Facilitate board activities, process, and objectives to advance the organization's mission and vision.

**E. Negotiating**

1. Exercise effective and ethical negotiation skills to resolve conflicts and achieve consensus.
2. Utilize conflict resolution skills to productively resolve differences among parties.

**Domain 3: ADMINISTRATION****(14-16%)****A. Human Resources**

1. Establish and maintain a work environment that fosters staff teamwork, communications, efficiency, and effectiveness to retain quality staff and assure organizational efficiency.
2. Implement a clear delineation of job functions, organizational responsibilities, and chain of command within the office through documented policies and procedures that promote organizational efficiency.
3. Construct and implement legally compliant recruiting and hiring practices to mitigate exposure to risk and attract highly qualified staff.
4. Establish core competencies for job descriptions and provide adequate supervision, coaching and training for effective staff performance.
5. Implement a formal performance review process to maximize employees' potential.

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6. Structure and implement disciplinary and termination policy and procedures to ensure fair and equitable treatment of staff and mitigate exposure to risk.
7. Develop, implement, and manage a strategic compensation program to attract and retain qualified association staff.
8. Enforce compliance with applicable employment laws to mitigate exposure to risk.

#### **B. Technology**

1. Identify and implement appropriate information technology systems and related policies and procedures to support association strategies and goals.
2. Supervise the selection, purchase, installation, maintenance, and upgrading of information technology systems to support strategic objectives.
3. Develop and implement secure systems to ensure data integrity and prevent unauthorized access.

#### **C. Legal and Risk Management**

1. Identify, retain, and manage legal counsel to aid the association in complying with relevant laws and regulations and mitigate risk.
2. Review and ensure proper use and execution of contracts to mitigate exposure to risk.
3. Develop policies and procedures in compliance with applicable laws to protect the association's reputation and assets.
4. Monitor association actions and activities to protect not-for-profit status and maintain compliance with antitrust laws.
5. Maintain required corporate and governance documents to ensure compliance with applicable laws.
6. Maintain appropriate insurance coverage to protect the fiduciary interests of the association, members, and staff.
7. Protect the association's intellectual property to maintain value and mitigate risk.

#### **D. Facilities Management**

1. Develop and implement an organization-wide crisis management program to protect and secure human and physical assets.
2. Evaluate association facilities and equipment to ensure fiscal responsibility and adequate resources.
3. Ensure that the work environment is compliant with applicable laws and regulations to create a safe and accessible workplace.

#### **E. Vendor/Supplier Management**

1. Evaluate the cost-benefit ratio and implications of outsourcing association functions to maximize operational efficiencies.
2. Establish and implement objective procedures to develop requests for proposals (RFPs), including performance evaluation criteria, to avoid vendor bias and conflict of interest.
3. Establish and implement conflict of interest and confidentiality policies, procedures, and supporting documentation to maintain organizational transparency and ensure that the association's interests and assets are protected.

#### **F. Business Planning**

1. Align the association's activities, operations, and business plan to support the strategic goals and resources of the organization.
2. Identify, retain, and/or manage accounting services to obtain the best financial information to support decision-making, to plan for financial sustainability, and for financial and legal protection.
3. Identify objectives, strategies, and tactics to achieve business goals.

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4. Prepare business plans for new and existing programs, products, and services to guide operations and define criteria for outcome measures.
5. Develop long-range funding and needs plans to ensure adequate financial assets for the future management and development of the association.
6. Develop a business continuity plan to ensure continuation of the association's operations in the event of a disaster.

**Domain 4: KNOWLEDGE MANAGEMENT & RESEARCH (4-6%)**

**A. Knowledge Management System**

1. Identify the information needs and preferences of stakeholders to leverage proprietary information and knowledge-based assets to develop a knowledge management program.
2. Transmit the knowledge management program through delivery of high-quality products and services with speed, efficiency, and effective customer service to share leading edge profession or industry learning, insight, and best practices.
3. Conduct ongoing evaluation of knowledge management systems to support continuous improvement.

**B. Research, Evaluation, and Statistics**

1. Develop a research agenda to benefit the internal operations of the association, advance the profession or industry, and provide needed information for members and other stakeholders.
2. Use appropriate research and data collection methods to guide decisions and operations within the association.
3. Prepare customized research reports to meet the needs and interests of stakeholders.
4. Develop a customized data reporting system to support strategy and positioning.

**Domain 5: GOVERNANCE AND STRUCTURE (9-11%)**

**A. Governance**

1. Conduct on-going review of governance documents to ensure they support the association's strategic direction.
2. Establish, integrate, and maintain an effective and representative governance system to guide the association in accomplishing its mission.
3. Establish and maintain governance structure for an effective system of components to develop and/or implement the mission of the association.
4. Serve as liaison with the board and executive committee to implement the board's policy and vision.
5. Facilitate the activities of the association's board of directors, committees, task forces, and special interest groups to support the accomplishment of the association's goals.

**B. Volunteer Leadership Development**

1. Establish and maintain a volunteer recruitment, training, recognition, and accountability system to attract and retain active and effective involvement of membership.
2. Work with the board to develop a volunteer leadership succession plan that facilitates the transition process.
3. Educate and orient board members, volunteers, and staff regarding their respective ethics and fiduciary responsibilities to mitigate exposure to risk and ensure governance and management are performed properly.

### **C. Component Relations**

1. Establish policies and procedures to form association components to create entities that serve member needs.
2. Develop and implement affiliation agreements to delineate lines of authority and responsibility for the association's components.
3. Provide relevant and timely resources to support the success and activities of association components.
4. Facilitate relevant and accurate information exchange between the association and its components to promote ongoing communication and positive relationships.

## **Domain 6: PUBLIC POLICY, GOVERNMENT RELATIONS, AND COALITION BUILDING (6-8%)**

### **A. Public Policy**

1. Identify and analyze the need for public policy development activities for the purpose of determining how to best support the organizational mission.
2. Create an inclusive advocacy agenda to support the profession or industry.
3. Implement a public policy program to educate key stakeholders.

### **B. Government Relations**

1. Implement and evaluate government relations programs that are consistent with board-approved policies to promote the association's objectives and goals.
2. Monitor legislation and regulation to evaluate its impact on the profession or industry.
3. Manage association lobbying activities to ensure compliance with applicable laws and regulations.
4. Establish and manage political action committees (PACs) to advance the association's public policy agenda.
5. Implement a grassroots advocacy program to advance the association's public policy agenda.

### **C. Coalition Building**

1. Develop a coalition-building model that is responsive and flexible and which may include partnerships, alliances, and/or informal and formal relationships to advance mutual goals.
2. Organize short- and long-term coalitions to address single issues of common interest that advance the association's public policy agenda.

## **Domain 7: MEMBERSHIP DEVELOPMENT**

**(10-12%)**

### **A. Member Relations**

1. Develop communication strategies to keep members engaged and informed.
2. Create a variety of volunteer opportunities to encourage member contributions to association activities and advancement.
3. Establish a member-relations strategy that addresses the diverse needs and views of current and potential members.
4. Develop and enforce a member privacy policy, in accordance with applicable laws and regulations, to protect members' personal and financial data.
5. Analyze and implement, if appropriate, industry awards and member recognition programs to support association programs and strategic goals.

### **B. Membership Recruitment and Retention**

1. Plan and implement membership recruitment and retention programs guided by the strategic plan and the results of a membership-needs analysis to expand and retain the membership base.
2. Utilize market segmentation and targeting to develop appropriate strategies, messages, and delivery vehicles for current and potential members.

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3. Research and identify strategies and tactics that increase member return on investment (ROI).
4. Communicate the value and relevance of the association to diverse populations of members and potential members to enhance membership retention and recruitment.
5. Evaluate member recruitment and retention programs utilizing a variety of measures, including membership satisfaction and membership trends, to assure relevance of programs.

#### **C. Ethics Program**

1. Foster an environment in which members are encouraged to identify and adhere to high standards of ethical behavior.
2. Establish and manage an association ethics and discipline program to promote and enforce standards of ethical behavior.
3. Plan and implement procedures and preventive education to help members maintain compliance with the association's ethical standards.
4. Evaluate professional and industry practices to determine the impact on members and the public.

#### **D. Standard-Setting Programs**

1. Establish and manage a voluntary standards program, if appropriate, to promote the profession or industry and assure the public of quality products/services.
2. Structure and administer standard-setting programs that are equitable while protecting the association and minimizing liability risks.

### **Domain 8: PROGRAMS, PRODUCTS, AND SERVICES**

**(12-14%)**

#### **A. Development of Programs, Products, and Services**

1. Identify and determine the best methods for responding to the needs and interests of components and other stakeholders to develop relevant programs, products, and services.
2. Conduct needs assessment and market research to evaluate the feasibility of introducing, modifying, or discontinuing programs, products, and services.
3. Develop comprehensive implementation plans to ensure that programs, products, and services are developed and operated properly and cost effectively.
4. Formulate marketing plans for programs, products, and services to increase effective non-dues revenue streams.
5. Review metrics to evaluate programs, products, and services and make recommendations to maintain, improve, or discontinue.
6. Identify, develop, and monitor revenue streams to provide funding for the association's activities.

#### **B. Fundraising, Sponsorships, and Development Programs**

1. Utilize qualitative and quantitative data to identify appropriate revenue generating vehicles for accomplishing association goals.
2. Develop and execute a fundraising plan to improve the effectiveness of fundraising efforts.
3. Collect and analyze qualitative and quantitative data associated with giving to evaluate the effectiveness of revenue generating initiatives.
4. Develop criteria for establishing foundations and endowments within the not-for-profit legal structure and the philosophy and strategies of the association to ensure funds are spent in accordance with the donors' intent.

#### **C. Meeting and Events**

1. Determine program and format based on meeting or event purpose, content and audience to effectively manage logistics and enhance the success of the meeting or event.
2. Manage planning, logistics, and operations to achieve successful meetings or events.

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3. Conduct post-meeting or event evaluation to measure outcomes relative to objectives and improve future meetings and events.

#### **D. Certification, Accreditation, and Licensure**

1. Develop, implement, and manage credentialing programs to define and promote professional standards.
2. Investigate and evaluate relevant standards and legal implications and liabilities associated with credentialing programs to identify strategies for minimizing risk.
3. Ensure that credentialing programs meet technical standards to maintain validity and reliability.

#### **E. Affinity Programs**

1. Determine policies and criteria for selecting, promoting, and continuing affinity programs that are consistent with the association's vision and mission.
2. Develop, implement, manage, and evaluate affinity programs to maximize effectiveness.

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

1. Develop and enhance the content of professional development products to ensure that the needs and requirements of members and industry are met.
2. Evaluate and plan the use of multiple methods and delivery systems to appropriately address member needs.
3. Incorporate an understanding of the conditions necessary for successful adult learning to guide the planning and development of professional development offerings.
4. Plan and implement procedures and preventive education to help members maintain compliance with applicable laws and regulations.

### **Domain 9: MARKETING, PUBLIC RELATIONS, AND COMMUNICATIONS (8-10%)**

#### **A. Marketing**

1. Define the scope of the market and identify target segments and key stakeholder groups to ensure that marketing strategies and tactics are targeted appropriately.
2. Use environmental scanning, marketplace tools, and research to guide and implement the development of the marketing strategy.
3. Develop and implement a marketing plan to support the association's position and branding, enhance membership recruitment and retention efforts, and promote programs, products, and services.

#### **B. Public Relations Programs**

1. Identify the target groups and individuals that must be positively influenced to ensure that PR efforts are targeted appropriately.
2. Plan, implement, and evaluate a public relations education and information program to positively influence groups and individuals and enhance public trust.
3. Develop a crisis communications and management plan to prepare a media spokesperson to communicate the association's position.
4. Formulate and articulate appropriate responses to inquiries from the media and the public to ensure that all relevant parties are properly informed.

#### **C. Publications, Media, and Messages**

1. Evaluate consumer and trade media outlets and develop and implement media approaches to advance the association's goals.
2. Integrate the communications delivery program to achieve the optimum messaging.
3. Develop a variety of publications (including technical journals), media programs and delivery systems to meet the diverse needs and interests of members and stakeholders.

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4. Determine the most effective and feasible communication formats for accomplishing the association's goals and meeting the needs of members and stakeholders.
5. Monitor, review, and assess publications and communications quality, usefulness and relevance, and implement changes as appropriate to meet communications goals and objectives.
6. Plan, implement and monitor the strategy and applications associated with association web site development and maintenance to ensure the web site serves the mission of the association.
7. Develop an editorial and peer review structure, if appropriate, to ensure integrity of publications.
8. Provide effective communications strategies and interactive tools to engage members and stakeholders.

## 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 8). 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.asaecenter.org](http://www.asaecenter.org) or contact the association executives' society in your area.

### The CAE Authoritative Literature

The following authoritative literature list has been compiled by the CAE Commission to reflect a body of literature that is aligned with the CAE examination content outline and would be useful in preparing to be a chief staff executive and for preparing to earn the CAE. The authoritative literature list is thoroughly reviewed and revised every five years in conjunction with the job analysis and exam content outline

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development. This list was developed in conjunction with the 2010 CAE exam content outline. The list is reviewed and recent references may be added to the list periodically.

While the literature should not be interpreted as constituting the sole source of all CAE examination questions, it provides clarification of the positions that may be tested and direction to resources that candidates may find useful when preparing for the examination. The authoritative literature list should not be construed as required reading. Each candidate should develop their own personal reading list and study plan based on their individual needs and knowledge.

- **7 Measures of Success: What Remarkable Associations Do That Others Don't** Washington, DC: American Society of Association Executives, 2006.
- Baker, Jennifer and Dahl, Janice. "How Are Your Ethics?" *Associations Now*, February 2009.
- Barbeito, Carol. **Human Resources Policies and Procedures for Nonprofit Organizations**. Hoboken, NJ: John Wiley & Sons, 2004.
- Burnett, John. **Nonprofit Marketing Best Practices**, 2007.
- 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.
- Herman, Robert D. **The Jossey-Bass Handbook of Nonprofit Leadership and Management**. 2004
- 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.
- Jacobs, Jerald A. **Association Law Update**, (The 2009 Supplement to Association Law 4th ed.) Washington, DC: American Society of Association Executives, 2009.
- Jacobs, Sheri and Assante, Carylann. **Membership Essentials: Recruitment, Retention, Roles, Responsibilities, and Resources**. Washington, DC: American Society of Association Executives, 2008.
- Lang, Andrew S. and Rocha, Laurie A. **How to Read Nonprofit Financial Statements**. Washington, DC: American Society of Association Executives, 2000.
- Levin, Mark. **Millennium Membership: How to Attract and Keep Members in the New Marketplace**. Washington, DC: American Society of Association Executives, 2000.
- Plexus Consulting Group, LLC. **The Power of Partnership: Principles and Practices for Creating Strategic Relationships Among Nonprofit Groups, For-Profit Organizations, and Government Entities**, 2008.

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- Showalter, Amy. **Creating and Managing an Association Government Relations Program, 2nd Edition.** Washington, DC: American Society of Association Executives, 2009.
- Tecker, Glenn and Frankel, Jean S. and Meyer, Paul D. **Will to Govern Well: Knowledge, Trust & Nimbleness.** Washington DC: American Society of Association Executives, 2002.
- 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.
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 types 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

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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**

- 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

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- 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.

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- 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**

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**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 to 8 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 are not successful

on the exam and your application is still valid, there is a \$250 fee to retake the CAE exam. If you do not succeed in passing the test within one year after the date on which your application is processed and your application expires, you will be required to submit a new application form, fees, and meet all eligibility requirements in effect at the time of the application.

#### 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;
- 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.

*Applicable as of 1/19/10. All policies, procedures, and fees subject to change.*

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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
- 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 January 19, 2010. 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).*

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- 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*  
*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*

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*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.*