

# AMERICAN SOCIETY OF ADAPTATION PROFESSIONALS

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**American Society of Adaptation Professionals  
Spring 2018 Board Meeting**

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**Chicago, Illinois  
April 24 – 25, 2018**

**Board Book & Resources**

# AMERICAN SOCIETY OF ADAPTATION PROFESSIONALS

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American Society of Adaptation Professionals  
Spring 2018 Board Meeting  
1447 N. Oakley Blvd, Chicago, Illinois  
April 24 – 25, 2018

## Overview Documents

[ASAP Board of Directors](#)  
[Meeting Agenda](#)

## Field Building & Strategy Resources

[ASAP 2020 Mission & Difference](#)  
[Draft Theory of Change & Logic Model](#)  
ASAP Code of Ethics ([Short Version](#)) | ([Long Version](#))  
[Landscape Analysis and Member Survey Framing](#), Ullman Consulting  
[Rising To the Challenge, Together](#) – Recommendations for Action Excerpts  
Appendix C1: Lessons from Other Fields for Prioritizing Field Building  
Recommendations  
Appendix C3: Specific Recommendations for Adaptation Thought Leaders  
Appendix C11: Specific Recommendations for Adaptation Practitioners  
Appendix C12: Specific Recommendations for Adaptation Service Providers  
Appendix C17: Specific Recommendations for Adaptation-Specific  
Professional Societies  
[ASAP Year 1 Workplan](#) ([via link](#) – *Review Optional*)

## Financial Resources

[Year To Date Profit & Loss Statement](#)  
Spending summaries for restricted funds ([Kresge](#)) | ([Summit Foundation](#))  
Budget Vs Actuals (*forthcoming*)  
Revenue Projections (*forthcoming*)

## Governance Resources

Bylaws ([link](#))  
HR Policy ([link](#))  
[Best Practices Governance Overview](#)  
[Board Member Position Description](#)  
[Election Process Overview](#)

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## 2017 - 2018 ASAP Board of Directors Directory

**Steve Adams, President**

*Current Term: 2015 - 2019*

*Email Contact: [sadams@iscvt.org](mailto:sadams@iscvt.org)*

**Josh Foster, Secretary**

*Current Term 2015 - 2018*

*Email Contact: [josh.foster7@gmail.com](mailto:josh.foster7@gmail.com)*

**Eric Mielbrecht, Treasurer**

*Current Term 2015 - 2018*

*Email Contact: [eric.mielbrecht@ecoadapt.org](mailto:eric.mielbrecht@ecoadapt.org)*

**Joyce Coffee**

*Current Term 2016 - 2019*

*Email Contact: [joyce@climateresilienceconsulting.com](mailto:joyce@climateresilienceconsulting.com)*

**Jessica Grannis**

*Current Term 2017 - 2020*

*Email Contact: [jcg68@georgetown.edu](mailto:jcg68@georgetown.edu)*

**Jennifer Jurado**

*Current Term 2017 - 2020*

*Email Contact: [JJURADO@broward.org](mailto:JJURADO@broward.org)*

**John Nordgren**

*Current Term 2017 - 2020*

*Email Contact: [john@climateresiliencefund.org](mailto:john@climateresiliencefund.org)*

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**Jacqui Patterson**

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**Missy Stults**

*Current Term 2017 - 2020*

*Email Contact: [missy.stults@gmail.com](mailto:missy.stults@gmail.com)*

**Beth Gibbons, Ex Officio**

*Executive Director*

*Email Contact: [bgibbons@adaptpros.org](mailto:bgibbons@adaptpros.org)*

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**American Society of Adaptation Professionals  
Spring 2018 Board Meeting  
1447 N. Oakley Blvd, Chicago, Illinois  
April 24 – 25, 2018**

## **Final Agenda**

### **Meeting Objectives**

1. Building Relationships Among Board Members
2. Understanding Field Building and ASAP's Role in the Adaptation Field
3. Setting Strategic Direction and Operational Priorities
4. Understanding the Current ASAP Financial Position
5. Assessing the Current ASAP Board Governance Functions
6. Assessing Board Capabilities and Needs for Upcoming Elections Process

### **Tuesday, April 24, 2017**

- 8:30 am                    **Arrival and Breakfast**
- 9:00am                    **Welcome & Meeting Orientation** (Joyce & Steve)  
*Welcome to Chicago and Joyce's home; logistics and agenda review*
- 9:10                        **ASAP History - The Journey Thus Far** (Missy & Steve)  
*Reflections on the ASAP journey from a snowy weekend in Boulder in early 2010 to our first in-person board meeting of an independent social profit organization. Shared experiences of ASAP achievements & excellence!*
- 9:40                        **ASAP Now** (Beth)  
*A quick review the organization's current framing of mission, objectives and operational assets (staff and member composition) as context for the strategy discussions that follow.*
- 10:00                      **Field Building and the Role of ASAP** (Maggie Ullman & Lauren Bradley)  
*With support from the Summit Foundation, Maggie Ullman (Ullman Consulting) is helping us to better understand the challenges of field building and the current position of ASAP within the adaptation field and within allied fields. The field building primer and analysis explore:*
1. *How is ASAP approaching adaptation system change?*
  2. *What is ASAP's unique and complementary role to other collective action groups and other societies in the adaptation field?*
  3. *What are the Field Building Outcomes & Activities ASAP is Pursuing?*

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- 11:30 **Break**
- 11:45 **Working Lunch Discussion: ASAP Theory of Change**  
*Over lunch, we will discuss how ASAP's current theory of change and logic model 'tracks' align with Ullman Consulting's assessment of ASAP field building role and the state of the field. We'll reflect on Maggie's presentation and note follow-up questions that the landscape analysis could support.*
- 12:45 **Break**
- 1:00 **ASAP Work Plan Review (Beth)**  
*ASAP staff will present the current ASAP work plan and projects. This will include summaries of existing member-led working groups, their current activities and areas of focus, and how they are executing.*
- 1:30 **Aligning Strategic Priorities and Needs of the Field (Discussion)**  
*Together, we will map how the current ASAP activities align with the strategic priorities for advancing the adaptation field and the current evolution of the field. This activity will use the resources from the morning presentation on field evolution and the report, "Rising to the Challenge, Together".*
- 2:45 **Break / Optional Individual Reflection Activity**
- 3:00 **Translating Strategy into Action: Adjustments & Accountability (Discussion)**  
*Integrating the day's conversations on field-building, strategic priorities and current operations, we will choose two logic model tracks and establish our performance measures for the track, our baseline and how we will measure success in this priority area year on year.*
- 4:00pm **Treasurer's Report: Overview of ASAP Finances (Eric)**  
*An overview of non-profit financials, ASAP financial resources available to support staff and operations, observations on financial risks, and opportunities for building ASAP revenues.*
- 4:30pm **Adjourn Day 1**
- 7:00 - 9:00 PM **Board Dinner**  
Location: Piece Brewery & Pizzeria

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## Wednesday, April 25, 2017

- 8:00am                    **Breakfast**
- 8:15                      **Day 1 Reflection** (Jennifer & John)  
*Recap of Day 1 outcomes and reflections on key insights*
- 8:30                      **Secretary's Report: Overview of ASAP Governance** (Josh)  
*As a newly independent social profit organization, ASAP has an exciting opportunity to establish best practices in our governance structure and culture. This session will feature an overview of our existing governance materials, highlights from BoardSource materials previously provided to the board, and suggestions on our opportunities (including board training) to move toward best practices.*
- 9:00                      **Board Working Groups** (Steve)  
*In advance of the board meeting, we've met in smaller groups to vet ideas proposed by staff for forming the necessary working groups required to advance ASAP and its mission. As a "committee of the whole," the board will hear formative thoughts about each committee and deliberate on which working groups should be formed, who will participate and to what end.*
- *Equity & Inclusion*
  - *Fundraising*
  - *Governance*
  - *Human Resources*
  - *(Membership)*
- 10:45                    **Board Vacancies, Election Process, and Succession Planning** (Beth)  
*Review of the ASAP Bylaws regarding Board of Directors election noting that terms for two board members – Eric and Josh – expire this summer. Of note, both serve as officers (Treasurer and Secretary, respectively). We will choose how to conduct the 2018 election process and explore what expertise the board currently has and what expertise and experience we want to add and increase.*
- 11:45                    **Review of Board Actions and Action Items for Board and Staff**  
(Josh and Beth)
- 12:00                    **Executive Session – Board Conversation**  
*An opportunity for board discussion following the departure of ASAP staff*
- 12:30                    **Adjourn**
- 12:30 PM                **Boxed Lunch Provided**

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## ASAP Mission & 2020 Vision

**Mission:** American Society of Adaptation Professionals supports and connects climate adaptation professionals, while advancing excellence and innovation in the field of adaptation.

**2020 Vision:** Fewer Americans are negatively impacted by climate change and more are thriving. ASAP is recognized among private and non-profit sector partners, federal agencies, professional associations, and the philanthropic community as the premiere organization setting best principles and standards for the adaptation community, including self-described climate adaptation professionals, those training new professionals, and all climate impacted professional sectors. The ASAP individual membership community grows to at least three times its current size and members engage in national, regional, and virtual meet-ups, actively shape the direction of adaptation practice through member-led ASAP activities, and share their knowledge through affinity groups and mentor programs. ASAP members publicly celebrate the benefits they get from their affiliation with the society. Corporate and group memberships increase to include at least thirty corporate and non-profit partners, plus education and training partnerships with professional societies from a range of disciplines. ASAP is the recognized accreditation partner for university programs training undergraduate and graduate students in adaptation and resilience studies. The impact of this growth in membership and strengthening of the adaptation community is the development of career pipelines and institutional capacity for adaptation professionals at all stages of their career across all sectors and levels of government.

**The ASAP Difference:** The American Society of Adaptation Professionals connects and supports climate adaptation professionals, while advancing the field of climate adaptation. While other professional organizations may see adaptation as something that they do in conjunction with other professional pursuits, ASAP is actively leading the way to ensure climate adaptation and resilience work is done equitably, ethically, and efficiently. The ability of ASAP to connect people across sectors, scales, and geographies makes the organization uniquely qualified for scaling best practices, setting national standards, serving as the voice of the profession, and providing a broad and deep community to professionals in the adaptation field and climate impacted professions.

*(Adopted in April 2017)*

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## Shortened Code

Revised: September 7, 2017

### VALUES AND BELIEFS

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The following represent the foundational values and beliefs that the American Society of Adaptation Professionals, and its members, hold:

- i. Climate change is a real and serious danger to all sectors and systems.
- ii. Adaptation and resilience build stronger, more prepared regions, ecosystems, communities, neighborhoods, and households.
- iii. Equity and environmental justice should be major considerations in all work done by adaptation professionals.
- iv. The natural world renders countless essential services and intrinsic value, many of which are threatened by climate change.
- v. Creativity, innovation and transformative problem solving are essential tenets of work that aims to address new and changing climate conditions.
- vi. Adaptation is and will continue to be a critical tool for ensuring that communities, infrastructure, the environment, cultural assets, our national security, and the economy continue to function and have the opportunity to thrive.
- vii. Adaptive decision-making is essential
- viii. Integrating consideration of future conditions and the full range of possible climate outcomes is essential for smart planning and in assessments of prospective risk and vulnerability.
- ix. Adaptation research, policies, practices, and actions are most effective when contextualized.
- x. Adaptation strategies should be evaluated as to their impacts (positive and negative) to other systems, scales, and sectors.
- xi. Climate adaptation strategies and processes should recognize the economic and social determinants that compound vulnerability to climate risks.
- xii. Science is the basis for our knowledge of climate change vulnerability and risk.
- xiii. Adaptation professionals are responsible to act on the basis of values as well as on what they know.

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## PRINCIPLES AND GUIDELINES

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### **A. Advance Knowledge**

#### Members should:

- i. Advance the development of our profession by contributing to the knowledge and capability of the adaptation field as a whole.
- ii. Examine the applicability of adaptation theories, methods, research, and practice to each particular situation.
- iii. Provide timely, adequate, clear, and accurate information on planning, preparedness, mitigation, and adaptation issues and/or practice to all affected persons and decision-makers.
- vi. Work across a broad range of disciplines to mitigate and adapt to climate change and disasters.
- vii. Keep abreast of relevant scientific and technical. Developments.

### **B. Operate with Integrity**

#### 1. SCIENTIFIC INTEGRITY

#### Members should:

- i. Ground practice in sound scientific principles and methods (including traditional and community knowledge).
- ii. Take full responsibility for the trustworthiness of their research and practice.

#### 2. ETHICAL INTEGRITY

#### Members should:

- iii. Reflect excellence, integrity, fairness, honesty, and inclusiveness in all aspects of research, professional practice, and communication.
- iv. Exercise impartiality, diligence, and objectivity in professional work.
- v. Be personally accountable, unselfish cooperators, and good stewards in the conduct of research and practice.
- vi. Take responsibility for the integrity, quality, and objectivity of contributions when sharing data, results, findings, and new knowledge.
- vii. Conduct research and practice in full understanding of all relevant principles, norms, laws, rules, regulations, codes, and customs.
- viii. Undertake professional services only when qualified.
- ix. Promote and serve the public interest.

#### 3. MANAGING CONFLICT OF INTEREST

#### Members should:

- x. Fully disclose financial, personal, professional, and other conflicts of interest.
- xi. Neither offer nor make any payment or gift to a public official with the intent of influencing the official's judgment.
- xii. Refrain from using confidential information for personal advantage.
- xiii. Refrain from engaging in private discussions with decision makers in any manner prohibited by law or by agency rules, procedures, or custom.

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## 4. MANAGING LEGAL CONCERNS

### Members should:

- xiv. Embrace the law governing professional affairs.
- xiv. Conduct research and practice in full understanding of all principles, norms, laws, rules, regulations, codes, and customs applicable to the relevant sectors and fields of practice.
- xv. In circumstances where decisions or actions violate a law or regulation and/or adversely affect public safety, members shall: (a) advise their employer or client against the decision; (b) refuse to consent to the decision; and, (c) report the decision to the public official charged with the enforcement of the applicable laws and regulations.
- xvi. Not engage in conduct involving fraud or wanton disregard of the rights of others.
- xvii. When the law does not support activities that are in alignment with sound climate adaptation practices, work to communicate why those laws are societally malfeasant.

## C. Operate in the Best Interests of Clients and the Public

### 1. EMBRACE DIVERSITY AND SOCIAL JUSTICE

#### Members should:

- i. Engage and interact fairly and evenhandedly with all participants.
- ii. Not discriminate on the basis of race, religion, gender, national origin, age, disability, or sexual orientation.
- iii. Increase opportunities for members of underrepresented groups to become adaptation professionals.
- iv. Ensure that stakeholders have the opportunity to meaningfully impact the development of plans and programs that may affect them.
- v. Seek social justice by working to expand choice and opportunity for all persons.
- vi. Conscientiously consider the specific impacts on and needs of underserved, under-resourced, frontline, or isolated communities in all aspects of work.

### 2. FOCUS ON THE NEEDS OF THE CLIENT

#### Members should:

- vii. Serve clients competently and in a professional and timely manner.
- viii. Accept the decisions of client or employer concerning the objectives and nature of professional services performed unless the course of action is illegal or inconsistent with the public interest.
- ix. Refrain from materially altering the scope or objectives of a project without the client's consent.
- x. Be truthful, keep clients reasonably informed, and maintain confidentiality in professional communications, except when breach is necessary.
- xi. Fully and openly advise client as to the likelihood of project success.
- xii. Expect respect from and give respect.
- xiii. Promote and serve the public interest in personal and professional activities.
- xiv. Actively and willingly work to improve societal standards in response to social and technological change.

### 3. CONSIDER THE ENVIRONMENT, SUSTAINABILITY, AND OBLIGATIONS TO THE PRESENT AND FUTURE

#### Members should:

- xv. Respect, protect, and improve the environment.
- xvi. Preserve the cultural heritage of civilizations and societies.
- xvii. Be an innovative, systems thinker in the pursuit of long-term goals of sustainability.

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- xviii. Support and promote sustainable actions and challenge unsustainable actions.
- xiv. Respect future generations.
- xix. Set a good example and participate in efforts to inform and empower future adaptation professionals.

## **CONCLUSION**

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In addition to the above requirements of membership, ASAP encourages its members to embrace voluntary public interest or pro-bono activities as a contribution to building the field.

## DRAFT ASAP Logic Model

**Draft Theory of Change (February 2018):** ASAP will evolve the adaption field of practice over time by connecting and supporting climate adaptation professionals in order for them to effectively collaborate to advance innovation and standardization in the field of climate change adaptation. ASAP will do this by ensuring climate adaptation and resilience work is equitable, ethical, and effective.

**Purpose:** The purpose of this draft logic model is to test a macro view of ASAP and how it plans to achieve its mission. The model has been created as a tool for Ullman Consulting and the ASAP team to have common language and a point of reference for the project team to discuss ASAP’s theory of change, direction, and to identify gaps for further discovery.

**Source Materials:** Material for tracks 2-5 came from ASAP’s [Program Descriptions](#), [2018 Priorities](#), [Year 1 Work Plan](#) and [Grant Proposal](#)

TRACK	INPUTS <i>Certain resources are needed to operate ASAP</i>	ACTIVITIES <i>If ASAP has access to these inputs, then they can use them to accomplish these activities</i>	OUTPUTS <i>If ASAP accomplishes these activities, they will deliver these intended services</i>	OUTCOMES <i>If ASAP accomplishes these activities, then ASAP participants will benefit in certain ways</i>		IMPACTS <i>If these benefits achieved, then certain changes in organizations, communities, or systems might occur</i>
				Short Term <i>1-3 Years</i>	Long Term <i>3-5+ Years</i>	
Collaboration Structure	<ul style="list-style-type: none"> <li>• Planning Time</li> <li>• Expertise</li> <li>• Staff Time</li> <li>• Consultant Time</li> <li>• Research Base</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Defining the membership design and growth strategy</b></li> <li>• <b>Onboarding new board members</b></li> <li>• Developing a Theory of Change</li> <li>• Financial Planning</li> </ul>	<ul style="list-style-type: none"> <li>• A membership strategy</li> <li>• A fundraising and revenue plan</li> <li>• Governance and decision-making policies aligned with the collaboration structure</li> <li>• A high level strategy for partnerships and external collaboration</li> </ul>	An integrated mission, membership structure, and business plan that supports the Theory of Change.		<ul style="list-style-type: none"> <li>• ASAP’s people, culture, decision-making processes, and structures are aligned to support its Theory of Change.</li> </ul>
Organization Capacity Development	<ul style="list-style-type: none"> <li>• Financial Resources</li> <li>• Expertise</li> <li>• Staff Time</li> <li>• Knowledge of best practices</li> <li>• Board Support</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Recruit staff</b></li> <li>• <b>Establish organizational policies and procedures</b></li> <li>• <b>Improve organizational infrastructure</b></li> <li>• <b>Develop an attractive web presence</b></li> <li>• <b>Implement an effective member communication strategy - prioritizing working with members</b></li> </ul>	<ul style="list-style-type: none"> <li>• Effective and efficient organizational systems</li> <li>• Effective, seamless infrastructure that connects members</li> <li>• Committed and knowledgeable staff</li> <li>• Leadership that is clear on direction</li> <li>• Board that provides stable governance and strategic direction</li> <li>• Stable revenue streams</li> </ul>	A strong organizational foundation that positions ASAP to support connection and collaboration among members.	A mature organization that is poised to lead and drive standardization and innovation across the field.	<ul style="list-style-type: none"> <li>• ASAP is a credible institution that provides the foundation for the connection, collaboration, and innovation necessary to advance the field of practice.</li> </ul>

<p>Peer Learning, Connecting, and Aligning Members</p>	<ul style="list-style-type: none"> <li>Clearly defined value propositions</li> <li>Work plans designed to maximize value propositions</li> <li>Systems, tools, and infrastructure that can support connection activities</li> <li>Financial resources</li> <li>Staff trained in weaving members to each other</li> </ul>	<ul style="list-style-type: none"> <li><b>In-person event(s)</b> <ul style="list-style-type: none"> <li><a href="#">Regional Adaptation Forum Overview</a></li> <li><b>Regional Adaptation Award</b></li> </ul> </li> <li><b>ASAP Emerging Resilience Professionals Mentorship Program (member led activity that staff coordinates)</b></li> <li><b>ASAP Newsletter</b></li> <li><b>ASAP Website</b></li> <li><b>Resilience Dialogues</b></li> <li><b>Peer training and education opportunities--asap led engagement with partners</b></li> <li>Utilizing ASAP Ambassador to spread a shared framework</li> <li><b>Webinars</b></li> </ul>	<ul style="list-style-type: none"> <li>Improved connections among members</li> <li>Diverse membership of climate adaptation professionals spanning sectors and scales</li> <li>High attendance rates at ASAP events</li> <li>High utilization rates of ASAP resources</li> <li>Member-created shared information resources</li> </ul>	<ul style="list-style-type: none"> <li>Members receive personal value from connections within ASAP and have a high level of satisfaction with the benefits ASAP provides. Members begin to identify best practices. Members begin to explore shared policy priorities.</li> </ul>	<ul style="list-style-type: none"> <li>Members agree on field knowledge and expertise requirements.</li> <li>Members are prepared to collaborate and work together to achieve specific outcomes.</li> <li>Climate adaptation professionals will have access to proven strategies and apply them with greater consistency.</li> <li>Climate adaptation professionals will have access to seamless infrastructure connecting them to sectors and professions that align with climate adaptation work.</li> </ul>	<ul style="list-style-type: none"> <li>ASAP is accelerating learning and the identification of best practices by connecting and supporting climate adaptation professionals so that they can align around action and innovations.</li> <li>ASAP represents a recognizable network of leaders in adaptation field.</li> <li>Thought leaders from across climate adaptation, climate justice, and innovation leadership communities will be able to identify opportunities for collaboration and coordination.</li> </ul>
<p>Enabling Action &amp; Innovation</p>	<ul style="list-style-type: none"> <li>Members with high quality connections</li> <li>Member relationships built on trust and confidence</li> <li>Staff trained in member weaving, group facilitation and alignment</li> <li>Access to shared stories and lessons from across the field</li> </ul>	<ul style="list-style-type: none"> <li><b>Board member elections process</b></li> <li><b>Resilience Dialogue (partners with in-kind staff)</b></li> <li>Voice for the Field (partnership with Island Press)</li> <li>Adaptation Technology Marketplace</li> </ul>	<ul style="list-style-type: none"> <li>Work groups with high levels of participation</li> <li>Work groups with shared goals and action items</li> <li>Agreement on the need for and identification of standards within the field of practice</li> <li>Members who agree to support, develop, or advocate for particular policies</li> <li>High levels of participation in ASAP programs</li> </ul>	<ul style="list-style-type: none"> <li>Members begin to share an identity and desire to work toward shared goals, which can include identifying and refining standards</li> <li>Members have access to proven strategies and actions</li> <li>Members begin to share funding priorities</li> </ul>	<ul style="list-style-type: none"> <li>Thought leaders from across climate adaptation form a shared understanding of the field.</li> <li>Members advocate for shared policies, standardize the field of practice and produce written, standards of practice.</li> </ul>	<ul style="list-style-type: none"> <li>ASAP is supporting the field of practice maturing with a convergence of around common methods and tools, and practices among members become more integrated.</li> <li>ASAP is setting the stage for industry standards and widespread adoption.</li> <li>An increased number and diversity of US communities have knowledge of adaptation strategies.</li> </ul>

<p>Standardizing &amp; Advancing the Field</p>	<ul style="list-style-type: none"> <li>• Members with a shared sense of identity, goals and best practices</li> <li>• Funding to support adoption and scaling of best practices</li> </ul>	<ul style="list-style-type: none"> <li>• Implementation &amp; Innovation Funds</li> <li>• Prize for Progress Replication Fund</li> <li>• ASAP Policy Program</li> <li>• Standardized training for adaptation professionals</li> <li>• Development of an accreditation system</li> </ul>	<ul style="list-style-type: none"> <li>• Innovation projects are funded</li> <li>• Policy initiatives are influential and successful</li> <li>• Emerging adaptation professionals, especially young professionals, will be more likely to consider adaptation as a long-term career.</li> </ul>	<ul style="list-style-type: none"> <li>• Members co-develop innovations</li> <li>• Members agree on innovations that are ready to scale</li> <li>• ASAP serves as a liaison between state and local policy makers and on the ground practitioners</li> </ul>	<ul style="list-style-type: none"> <li>• Members develop and adopt distribution and dissemination systems to scale practices and innovations</li> </ul>	<ul style="list-style-type: none"> <li>• Adaptation has evolved into a standardized field with formal training and credentialing. Innovation is created and scaled among members. The profession is widespread. Portions of the organization are seeking ways to disrupt established practices.</li> </ul>
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# Landscape Analysis and Member Survey Framing

## Project Background

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[Ullman Consulting](#) is working with the [American Society of Adaptation Professionals](#) to explore three guiding questions:

1. How is ASAP approaching adaptation system change?
2. What is ASAP's unique and complementary role to other collective action groups and societies in the adaptation field?
3. What are ASAP's key value propositions to the membership, and how satisfied are members with ASAP provisioning this value? What are priority actions ASAP could take to expand the value it offers to members and deepen engagement with members?

This project began in January 2018, will conclude in June 2018, and involves four distinct elements: discovery and framing, a landscape assessment, a member value proposition survey, and recommendations for continued improvement of the ASAP organization.

## Document Purpose

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The purpose of this document is to explore the first question and to scope the work outlined above. The concepts and research around field building will help frame the landscape assessment and member value proposition survey for ASAP. This memorandum is organized by a series of questions and supporting frameworks. Each question includes options for defining ASAP. We have documented our observations and selected options that we believe reflect ASAP's design as we understand it, and each selection informs the next question. The task for ASAP is to review and course correct our selections if our observations do not accurately reflect ASAP's direction.

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## Initial Observations

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### 1. What adaptation system is ASAP seeking to change?

**What is a system change approach?** System level change requires a rethinking of the relationships between government, business, consumers, and the scientific community in order to achieve significant gains in that system. To effectively impact a system, a systems thinking lens needs to be applied when designing system change work. Systems thinking emphasizes the importance of understanding how the different parts of a system interact, rather than focusing on the parts themselves (Vexler, 2017). Targeting system change acknowledges that the intermediary will pursue efforts at a scope and scale that involve individuals, organizations, and the interrelationships between them.



A targeted understanding of the dynamics and drivers of change within a system are necessary to cultivate change. The three system change approaches we will briefly explore to frame our shared thinking about ASAP are field building, movement building, and market transformation.

1. **Field building:** Field building is defined as acts of connecting fragmented actors in a given area of work to create an organized industry around an issue or challenge. In so doing, the field can operate more effectively and efficiently, tease out best practices, and improve outcomes. In field building, progress is defined incrementally.
2. **Movement building:** Movement building, most broadly, is defined as people working together toward a shared purpose to create change around a problem or challenge they want to address. In the article *Building Movements, Not Organizations*, Gottlieb (2015) describes movements as seeking sweeping change where success is defined globally, i.e., things change for everyone. The drivers of change and strategies deployed are often what sets movement building apart. Drivers for effective movement building include a shared political goal, a plan for the future and/or alternative path forward, powerful grassroots support, partnerships, and a pipeline of leaders. Strategies most often deployed in movement building include advocacy, media reach, legal action, protests, and research. Movement builders set their targets around changing culture and how people behave, advancing justice for marginalized groups, and/or getting laws passed.
3. **Market transformation:** Market transformation is defined as creating market forces that motivate the private sector to embrace change. This is typically done by removing identified barriers or exploiting opportunities to accelerate the adoption of alternative solutions, technology, tools, and/or practices as a matter of standard practice (American Council for an Energy Efficient Economy, 2018). When customers are willing and able to pay the true cost, at least in part, for the product or service, the transformation system has achieved its purpose and market intervention is no longer needed. This system change approach has been utilized by many organizations pursuing energy system change, often around specific technologies, and is most effective when significant action from the private sector is needed (Rockefeller, 2017). Within market transformation, significant focus is placed on product development, although system change is not exclusively solved by developing products.

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## ASAP is pursuing system change through field building.

Understanding an organization's system change approach is important because it frames the organization's design, goals, and activities. All organizations have limited resources and must strategically deploy them to maximize impact. Structuring organizational design around a specific systems change approach ensures that an organization's efforts are aligned with its strategy for change. Often organizations that are pursuing system change, yet are unclear in their approach, experience an over-extension of their resources, mission creep, and limited progress on outcomes.

Recent research and ASAP's organizational materials suggest that ASAP is pursuing system change through field building. ASAP's 2017 grant application to the Kresge Foundation is a recent document that summarizes its vision, goals, and strategy. In this proposal, ASAP states that it is striving to address "an adaptation field that remains fragmented, undefined, lacking enough willing leaders, and lacking recognition for existing leaders" through a systems change approach that "will require an enormous amount of coordination across sectors, and the advancement and education within sectors involved in these collaborative processes."

Other recent landscape analyses and research points to ASAP as a field builder as well. A white paper by Meister Consultants Group, Inc. entitled *Resilience Market Analysis for Rebuild by Design Strategy Development* (2015) identified ASAP, among a small number of entities focused on adaptation field building, as an organization that connects professionals to each other (2015). *Professional Societies and Climate Change*, a study commissioned by the Kresge Foundation, also recognized ASAP as an organization with opportunities to bring together communities to learn from each other and understand modes of operation; develop a platform for professional societies to share practices with one another, and; convene in-person meetings for professional societies to share experiences and practices (Stultz and Meerow, 2017).

Internal ASAP documents and external studies support the notion that ASAP is pursuing or poised to pursue the activities associated with a field building organization.

## 2. What stage/s of field building is ASAP targeting their work?

System change evolution can be organized into different stages depending on the system. These stages are fundamentally sequential and generally evolve over long periods of time. However, each stage of evolution can present unique opportunities to accelerate progress and push movement along the continuum. Understanding where a field is in its stage of evolution informs the effective design of field building activities and metrics. It allows the organization to efficiently target its resources around efforts that will advance the field based on its current position in time. It also allows the organization to optimize services and support for practitioners based on where they are in the field's progression.

Table 1 illustrates a framework of system change evolution stages. A comparison to movement building and market transformation is included to help deepen our shared understanding of field building.

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Table 1. Stages of System Change Evolution			
Stages	Movement Building	Field Building	Market Transformation
1	<b>Making Visible the Invisible:</b> This stage is meant for raising general awareness about the problem.	<b>Framing:</b> Conceptual framing and isolated practice examples.	<b>Availability:</b> The technology or market intervention exists, is commercially available, and has moved beyond the research and development phases.
2	<b>Relationship Building:</b> Different groups working on the same issue begin to work together. Often social movements fall apart at this stage because groups fail to reach enough consensus on ideology or action.	<b>Innovating:</b> Connecting innovators and fostering the proliferation of practices. Practices are fragmented and often considered “proprietary” at this stage and need to be tested and vetted among communities of innovators.	<b>Accessibility:</b> Market actors have access to the technology or market intervention through realistic distribution changes.
3	<b>Building Infrastructure:</b> Groups begin to create formal and informal networks that help people engage in the system change activities.	<b>Scaling Implementation:</b> Alignment of practitioners around shared goals, best practice methods, tools, and identity; scaling practitioner ability and readiness to implement.	<b>Awareness:</b> The market actors are aware of the technology or market intervention and have familiarity with how it is used and applied.
4	<b>Seizing a Catalyst Moment(s):</b> There is usually one defining moment in movements. An event that serves as a flash point to mobilize the masses around the issue. Sometimes the catalyst is planned, and other times mobilization occurs organically.	<b>Standardizing:</b> Practices become highly standardized and incorporated into formal training, credentialing, and certification systems. Practices are considered “commodities.” Reward systems reinforce desired behaviors.	<b>Affordable:</b> The technology or market intervention is competitive with alternative options and considered affordable without market interventions (i.e., government incentives such as tax breaks or regulatory requirements).
5	<b>Sustaining Action:</b> When there is true public awareness, groups have united under a common front, built stable infrastructure for communication, and there has been a mobilizing event, social movements truly have potential for making change.	<b>Mainstreaming:</b> A field eventually becomes widely acknowledged and accepted. Contributions from this field inform and influence other fields of practice. Contributions from the field influence decision making of organizations outside of its field.	<b>Accepted:</b> The form of technology or market intervention is accepted by market actors and widely used.

In field building, a field moves along the continuum from stage 1 to 5 as the degree to which:

- the extent of interaction and information sharing among organizations goes from low to high (stages 1-3);
- field practices evolve from a fragmented to a standardized state (stages 2-4), and;
- with growing information sharing, standardization, and transactions, actors develop a shared identity within the field and, in turn, have a common purpose for existence. With this stability, the field has influence in the mainstream (stage 5).

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## ASAP’s materials suggest they are targeting field building in the innovation and scaling implementation stages of field evolution.

In a report prepared for the Kresge Foundation, *Rising to the Challenge, Together*, the authors state that many adaptation practitioners “recognize the need to collaborate across silos and disciplinary boundaries, and to move from planning to implementation. Still...best practice is not yet established and there are considerable barriers to action” (Moser, et. al., 2017, pg. 11). The report recommends bringing people together to define a shared vision and “adaptation agenda,” including agreed upon measures of success, to support interconnected field actors that share goals and collaborate to advance a culture of adaptive thinking and acting (Moser, et. al., 2017, pg. 10). Although we understand it may be impossible for all practitioners to firmly agree on the precise point/stage in field evolution, these observations suggest that the field of adaptation may be in the innovation stage and moving toward scaling implementation. Even without agreement on where the field is in its evolution, we can identify where ASAP is targeting its efforts based on stage of evolution.

ASAP has recognized the need to support the field’s evolution in the innovation stage, citing the need to serve an adaptation field that is “desperate for collaboration, capacity-building, and strategic alignment” in its recent Kresge grant proposal. By focusing on member communication and engagement services, ASAP is seeking to connect practitioners across scales and sectors with the goal of developing shared goals and best practices. Ullman Consulting developed a [logic model](#) with ASAP staff that organized its current or planned activities and outcomes into five tracks, defined by desired outcomes in Table 2. The first two of the five tracks focus on internal improvements and capacity building for ASAP as an organization so that it is poised to successfully deliver on the remaining three tracks. The remaining three tracks show a connection between ASAP’s activities and outcomes to stages 2-5 of field building shown in Table 1.

**Table 2.**

Logic Model Track	Desired Impact
Collaboration Structure	Develop an integrated mission, membership structure, and business plan that supports the Theory of Change.
Organization Capacity Development	Develop a mature organization that is poised to lead and drive standardization and innovation across the field.
Peer Learning, Connecting, and Aligning Members	Accelerate learning and identification of best practices by connecting and supporting climate adaptation professionals so that they can align around action and innovations.
Enabling Action and Innovation	Support the field of practice maturing with a convergence of around common methods, tools, and integrated practices, setting the stage for industry standards and widespread adoption across diverse communities.
Standardizing and Advancing the Field	Support adaptation professionals as they co-develop innovations, eventually agree on innovations that are ready to scale, and then deploy distribution and dissemination systems to scale practices and innovations.

## 3. What role is ASAP playing to support field building?

Within a field of practice, there are typically five major roles played by various actors in support of evolving the field. In more established fields, both the roles and the actors are well recognized and defined, giving the field a sense of stability and authority. In the adaptation field, there is still lack of widespread clarity about who is participating, what role they are playing, what value they are contributing, and how the different actors interrelate to advance the field. Identifying, understanding, and organizing respective roles in a field can accelerate its evolution, positioning it for more rapid scaling, implementation, and standardization.

Within an individual organization, developing clarity around its role in field building can inform how to offer unique value to its members and stakeholders. It can also support establishing guidelines for the type of work the organization pursues to avoid mission, scope, and resource creep. In organizations that are member driven, as ASAP is, it can be difficult to balance the tension between “member driven” and “off mission,” and clear role distinction may help with this.

There are generally five key roles in field building:

1. **Practitioners: Doers.** A person actively engaged in the field as a professional who utilizes skills and knowledge in direct application to the field of practice. They are the people directly solving field problems, testing solutions, and implementing approaches to address the shared problem of the field.
2. **Practitioner Organizations: Doers.** An organization engaged in the field by serving a mission or pursuing goals to address the shared problem or challenge of practitioners in the field. It can be a private, public, or nonprofit organization. The unique characteristic is it is an organization, not an individual practitioner, that contributes, engages, and participates in the field.
3. **Intermediary Organization: Convenors.** Intermediary organizations support the provision of services by another organization rather than providing direct services itself. Intermediary organizations connect people together who will be the actors in changing the system. They are the “coordinators.” When intermediary organizations change a system through field building, they increase the exchange of theory and practice between domains and develop incentives for collaboration that may not have happened organically. Intermediaries will often deal with critical, unaddressed needs in a field (Sahni, *et. al.*, 2017). They can be a neutral convener with the ability to bring actors together and establish partnerships across the field that result in large-scale impact (Rockefeller Foundation, 2017).
4. **Funder: Investors.** Simply put, funders provide capital to practitioners, practitioner organizations, and intermediary organizations in support of solving the shared problem in the field of practice. They are not the “doers” and typically rely on those other roles to provide strategy and insight into the field.
5. **Policy Maker: Regulators.** Policy makers intervene in the system by changing and setting rules through governmental bodies. They may provide soft (research, education) or hard resources (direct funding) in support of reinforcing their policy or regulatory objectives.

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## ASAP is an intermediary organization.

Although the landscape of actors in adaptation is vast and the distinctions between their contributions may not be overtly clear to everyone, it is clear that ASAP is serving an intermediary organization role - a role for the field that is in service to practitioner organizations, individual practitioners, and to some extent funders as well. We see consistency from this intermediary organization distinction based on these current goals for ASAP:

1. ASAP will attract, connect, and support a diverse membership of climate adaptation professionals spanning sectors and scales. To do this, ASAP will offer member engagement opportunities, professional service opportunities, professional development and training, member communications, and member work groups (affinity groups).
2. ASAP will curate, apply, and promote resources and processes that foster adaptation action, innovation, and replication. Future programs in this area include the Resilience Dialogues and Prize for Progress grant fund.

Additionally, Ullman Consulting drafted a theory of change statement with ASAP staff and concluded that it further illustrates the intermediary organization role. The draft theory of change is that: **ASAP will evolve the adaption field of practice over time by connecting and supporting climate adaptation professionals in order for them to effectively collaborate to advance innovation and standardization in the field of climate change adaptation. ASAP will do this by ensuring climate adaptation and resilience work is equitable, ethical, and effective.**

## 4. What field building outcomes and activities is ASAP pursuing?

Each stage of field evolution can be further understood by looking at the strategic field building outcomes needed to enable the field to evolve. Each of these outcomes requires supporting activities. By evaluating each stage of field evolution in the context of its strategic outcomes and required activities, organizations can design and target their body of work.

Moving through the stages of field evolution can take many years, even decades, before reaching the mainstream. For example, the evolution of modern computer science as field is thought to have progressed over 40 years or more, from when the the basic components of a computer were designed in the 1940's to the first computer science degrees being offered in the 1960's to the launch of widely adopted programming languages, mass produced computers, and the world wide web in the 1970's and 1980's (Stanford Encyclopedia of Philosophy, 2006). We acknowledge that adaptation is quite unique and does not directly compare to computer science; that said, it is important to understand that field building typically has a longer arch of change than system change in movement building or market transformation.

In theory, efficient field evolution would progress through these stages sequentially, allowing for early outcomes to inform future outcomes, and actors within the field would optimally allocate resources in support of organized field advancement while minimizing inefficiency. However, by definition, fields in their early stages are relatively unstructured and disorganized. This is where intermediary organizations can help bring order to evolution.

Below is a table of strategic field building outcomes and supporting activities. The activities underlined and in bold are activities ASAP is either currently providing or has proposed to pursue through the latest Kresge proposal and grant funds.

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Table 3. Field Building Strategic Outcomes and Activities	
Strategic Outcome	Activities to Support Strategic Outcomes
<b>Frame the Field</b>	<ul style="list-style-type: none"> <li>● Understand and diagnose problem</li> <li>● Identify need for field practices and practitioners to address problem</li> <li>● Foster a shared identify for who will engage in the field</li> <li>● <b><u>Identify common ethics, values, and principles for field</u></b></li> </ul>
<b>Innovation</b>	<ul style="list-style-type: none"> <li>● Apply field framing to develop innovative practices, tools, and solutions</li> <li>● Implement and test innovation practices, tools, and solutions</li> <li>● <b><u>Connect practitioners and foster peer learning</u></b></li> <li>● <b><u>Foster information sharing between practitioners</u></b></li> <li>● <b><u>Align practitioners with shared challenges/need</u></b></li> <li>● Incentivize and coordinate collaborative problem solving among practitioners</li> </ul>
<b>Scale Implementation</b>	<ul style="list-style-type: none"> <li>● <b><u>Align practitioner agreement of best practice</u></b></li> <li>● Scale funding available for implementation</li> <li>● Scale implementation of best practices</li> <li>● Create knowledge- tools, research, methods, documentation- about best practices</li> <li>● Disseminate best practice knowledge</li> </ul>
<b>Standardization</b>	<ul style="list-style-type: none"> <li>● Research metrics and standard options for best practices methods and outcomes</li> <li>● Facilitate inclusive alignment of practitioner and organizations alignment around metrics and standards</li> <li>● <b><u>Design and administer training, certification, and/or accreditation programs</u></b></li> <li>● <b><u>Grow number of practitioners</u></b></li> </ul>
<b>Mainstream</b>	<ul style="list-style-type: none"> <li>● Facilitate and maintain necessary changes in policies, laws, and regulations to support mainstreaming within practices</li> <li>● Monitor outcomes and facilitate modifications where necessary</li> <li>● Develop and implement tools/communications to raise awareness, reinforce standards, and strengthen commitment to the field</li> <li>● <b><u>Disseminate and integrate field knowledge into other fields of practice</u></b></li> </ul>

ASAP is pursuing activities that span all five stages of field building.

We observe ASAP is in a phase of re-emergence as an organization and is investing significant time and resources in strengthening its position in support of the field. ASAP’s 12-month work plan, excerpt shown in Table 4, includes both internal and external objectives, activities, and tasks that connect to all five of stages of field building.

Table 4. ASAP 12-Month Activities by Stages of Evolution	
Stage	Activities to Support Strategic Outcomes
<b>Frame the Field</b>	Advancing the Code of Conduct and Professional Ethics
<b>Innovation</b>	In-person events Member led activities ASAP Ambassador Program Voice for the Field Program

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	Resilience Dialogues ASAP Newsletter ASAP Website and Webinars
<b>Scale Implementation</b>	Core Trainings Public Policy Convenings Prize for Progress Replication Fund
<b>Standardization</b>	Professional Certification Program Mentorship Program
<b>Mainstream</b>	Cross-sector Collaboration Adaptation Technology Marketplace

## Observations Summary

Based on our discovery to date, we observe that ASAP is applying a field building approach for systems change within the adaptation field. ASAP is an intermediary organization that is connecting and coordinating actors in the field of adaptation to accelerate progression from a state of innovation to scaling implementation. ASAP’s logic model and work plan show that it is pursuing objectives, activities, and tasks in all five stages of field building.

Table 5. Observations Summary	
1. ASAP System Change Approach	Field Building
2. Evolutionary Stage of Adaptation Field	Between Innovation and Scaling Implementation
3. ASAP Field Building Role	Intermediary Organization
4. Field Building Outcomes & Activities ASAP is Pursuing.	ASAP is pursuing activities in all five stages of field building: framing, innovation, scaling implementation, standardizing, and mainstreaming.

## Implications

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### Landscape Analysis

In order to understand ASAP's unique and complementary role in adaptation systems, we began by first exploring what space they currently occupy. Next, we need to understand what space other field actors are occupying. The frameworks shared in this memo will be used to guide landscape assessment research, which will then culminate in strawman ideas/recommendations for ASAP to consider for their direction forward.

It should be noted that adaptation is not a singular field of practice, and there is debate in the adaptation community as to whether it should be treated as one field or a large system with many fields interacting. As we move forward with this landscape analysis, we feel confident in assuming that there are many layers of technical focus and competency that participate, intertwine, and contribute to climate adaptation. ASAP acknowledges the need to coordinate among adaptation professionals in fields ranging from finance and community development to architecture, ecology, climate science, and urban planning. What makes adaptation unique from this field building lens is that the fundamentals shared across the variety of sub categories are not necessarily specific skills or knowledge of practices but more likely shared understanding of needs to address adaptation.

When trying to understand the actors in a field of practice and the role/s they play, analysis often starts with an approach to grouping entities by sector (i.e. private, public, etc.) or services they provide to the field (i.e. research, communications, etc.). In our approach to the landscape analysis, we plan to expand segmentation to capture an understanding of the deeper motivations behind why organizations engage within the field in certain ways and the potential for synergy among actors to achieve shared goals. We want to understand both how and why actors are engaging in the landscape to gain a comprehensive view of opportunities and gaps within the landscape.

Based on these observations, we propose pursuing a landscape analysis through a field building lens that dives into understanding ASAP's intermediary role in comparison to other adaptation intermediaries. We believe this approach could provide the most useful overview and analysis of ASAP's position and opportunities to advance the field of practice and serve its members.

#### 1. Objectives

What is ASAP's unique and complementary role to other collective action groups and other societies in the adaptation field? To better understand this question we seek to explore:

- What organizations are currently delivering field building support to the adaptation field?
- What roles are those organizations playing?
- What field building activities are they pursuing?
- What field building activities are missing in the landscape to support field evolution?

#### 2. Criteria for Organizations in Analysis

What types of organizations should be included in the analysis?

- Adaptation is central to their purpose.
- Organizations participating in field building activities (see #5 below)
- United States focused organizations.

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### 3. Scale

Ullman Consulting proposes to analyze 12- 15 organizations based on high level field building framing and then more detailed look into 3-5 organizations that will be more directly compared to ASAP.

### 4. Coding Protocol

Coding protocol is the pre-established method by which we will code our research data so that it is standardized for comparison and analysis. All 12-15 organizations will be analysed using the following coding protocol:

- **Organization Purpose:** mission, vision, theory of change (if available)
- **Organization Type:** nonprofit, government, university, or for-profit
- **Field Building Outcomes they are Currently Pursuing:** framing, innovation, scaling implementation, standardization, and/or mainstreaming
- **Field Building Role:** practitioner organization, intermediary organization, funder, and/or policy maker
- **Field Building Outcomes they Aspire to Deliver:** if different than above
- **Field Building Activities they Deliver:** corresponds to options in Table 3

Ullman Consulting and ASAP staff will review initial findings from the research above and determine which 3-5 organizations will be included in the detailed organizational comparison. Ideally, this comparison will only include organizations that play an intermediary organization role in the adaptation field as ASAP does. These additional layers will be analyzed:

- **Key Services Provided:** a typology will be established during the research process to frame the findings
- **Membership/Stakeholder Focus and/or Strategy:** a typology will be established during the research process to frame the findings. This might include- practitioner, practitioner organization, local government, researcher, etc.
- **Number of current and/or Target Members/Stakeholders**
- **Key Value Propositions to Members/Stakeholder:** from list of options Ullman Consulting is working with ASAP staff to define for the ASAP member survey
- **Organization Model:** network, coalition, association, hybrid, and/or other
- **Organization Governance (the design for how the organization makes decisions):** emergence (no formal structure), imposition (staff), centralized democracy (staff and board of directors), inclusive democracy (member driven), or other
- **Organization Infrastructure:** years of operation, number of paid staff, budget, key funders

### 5. Organizations to Consider Being Included in the Analysis

After discussion with staff and review of supporting materials, we suggest ASAP consider the following organizations to be included in the analysis. Any organization notes with an asterix (\*) is one for consideration in the detailed organization comparison.

1. \*Association of Climate Change Officers
2. Association of Floodplain Managers
3. \*Climate Access
4. Climate Central
5. \*EcoAdapt

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6. Georgetown Climate Center
7. \*Institute for Sustainable Communities
8. National Emergency Management Association
9. National Hazard Mitigation Association
10. NOAA Climate Program Office and Office of Coastal Management
11. Science to Action Community
12. \*Urban Sustainability Directors Network (USDN)
13. Water Utility Climate Alliance (WUCA)

## Member Value Proposition Survey

As the observations included in this memorandum have informed our proposed direction for the Landscape Analysis, they have also informed our direction for the Member Value Proposition Survey. The survey is designed with a field building lens to provide an understanding of:

- Where ASAP members see the adaptation field in the defined stages of evolution;
- What value ASAP members want to receive from an intermediary organization and how well ASAP is delivering on those value propositions, and;
- What activities and services would support ASAP members in their current stages of evolution and how well ASAP is delivering on those activities.

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## Appendix C1: Lessons from Other Fields for Prioritizing Field Building Recommendations

In Chapter 5 of this report, we approached the question of prioritization from two angles:

- Theory-based and empirical experience with field building
- Other efforts aimed at scaling up interventions to address complex issues

We provide this background to our suggested approach to prioritization of recommendations to advance the US adaptation field.

### Field Evolution through Theoretical and Empirical Lenses

Many field-building experts do not speak about the phases of building a field, just of evaluating or assessing it.<sup>1</sup> But the Innovation Network for Communities (Cleveland et al. 2016) offers a four-stage evolutionary model, whereby a field progresses from framing to networking to maturation to standardization.<sup>2</sup> We can roughly (though maybe not exclusively) equate “framing” to the Purpose component, “networking” to the People component, “maturation” to the Practice component, and “standardization” to the Pillars component in our 4P framework. An evolutionary, and thus prioritization, sequence could be discerned: focus first on the Purpose, then on the People, then on the Practice, and finally on the Pillars.

O’Neil and Onike (2016)<sup>3</sup> offer some historical evidence for this sequence of stages from the evolution of the public-health field.<sup>4</sup> They found the field to be launched with a targeted focus on one health issue in 1909 (Purpose), followed by concerted efforts to align actors and build networks in 1910 (People); as of 1913, the focus shifted to practice and identity (Practice); and in 1915, field leaders expanded to address other health problems (thus creating a need for new ideas) (Purpose); by the 1930s, yet other frontiers of work opened up; concerted field building efforts continued through World War II and then gradually ceased after large-scale institutionalization (Pillars).

Our assessment of the US adaptation field suggests that a relatively simple and linear 4-stage model is unlikely to apply to adaptation, and that sub-fields within the larger field will exhibit various degrees of maturity for some time to come. Our reasons are as follows:

- **Emergent presence of all, but uneven development of the 4Ps**—The 4Ps of field building are already in place to some degree, but there is considerable unevenness in the development of each component across regions and sectors, thus making it impossible to apply one field-building strategy across the entire US. This is due, in part, to the heterogeneity of how climate change shocks and stresses will be experienced across different geographies and sectors and also to disagreements on what is most vulnerable, resulting in varying recognitions of the urgency of the problem (Purpose). There is also heterogeneity in terms of how far along the practitioner community is at this time (better in cities, and maybe in coastal and water sectors, but less well-developed in other sectors, rural areas, and certain regions) (People, Practice).
- **Interdependency of 4Ps**—The 4Ps are deeply interlinked and the absence or over-emphasis of any one component to the point of neglect of others can undermine their progress, making it potentially ill-advised at best and completely ineffective at worst to address them sequentially or independently of one another.
- **Diversity of field needs**—Adaptation is complex and context-sensitive, with multiple specific problems emerging simultaneously and interacting in ways that require diverse responses, capabilities, networking, and policy changes.
- **Persistent support needed across the field**—Finally, climate change, while a scientific fact, is interpreted through ingrained values and interests, and is a highly politicized topic in the US. This makes adaptation per se political (in the sense of it relating to the management of public affairs, particularly in terms of implementation priorities), but also politicizes the building of the adaptation field itself. Both demand a focus on the policy and funding pillars not only at the end of field building but throughout.

Thus, we might agree with the central emphasis of each evolutionary stage as a key to how to advance the field to greater maturity, but not with addressing them only in sequence rather than concurrently. Adaptation is also highly complex, which complicates the search for priority actions in a simple, staged model of evolution.

The findings of O’Neil and Onik (2016) regarding field building duration and the necessary scale of intervention might also help set expectations for those interested in advancing the US adaptation field. They note,

“We found little in the literature to help guide thinking about how long it takes to build a field. However, the case studies we found of successful field-building work by philanthropies generally involved work lasting more than one decade and often two or more. [...] Similarly, we found no strong evidence on what scale is necessary for field-building to work. However, one hypothesis is that some later Rockefeller Foundation field-building efforts had limited impact because of their relatively smaller scale.”<sup>5</sup>

Based on our understanding of the state of the US adaptation field, we believe that significant progress can and must be made over the next decade, but that due to the progressive nature of climate change, the heterogeneity of challenges and expertise required within the field (and its sub-fields), and the regional and sectoral differences with which climate change impacts are unfolding, field building is highly unlikely to be complete in 10 years.

In fact, an important lesson for field building is “not to push the field faster than it is ready to develop, thus potentially slowing it down.”<sup>6</sup> Instead, field-building efforts will likely change as new, larger, and possibly unprecedented challenges unfold. Particularly in under-resourced regions of the country, field-building investment and support may be required for significantly longer, before adaptation becomes fully institutionalized.

### **Learning from Diverse Efforts Aimed at Increasing Impact**

The existing research about building fields does not easily apply to adaptation. So what can be learned from other efforts at scaling up interventions, particularly on deeply entrenched, complex problems?

As in field building, many social-change efforts begin from small-scale innovations and interventions that first galvanize just the few, but then must expand to shape the behaviors, resources, and practices of the many. All theories for scaling up these innovations have commonalities with field building and many face similarly heterogeneous, complex, and often politically contentious problems. But there are also differences between building a field of practice and, say,

- Scaling the impact of investment in a new product;
- Fostering organizational change;
- Spreading technological innovations;
- Addressing deeply entrenched and complex social problems through collective impact;
- Building social movements;
- Managing wicked problems/complex adaptive systems; or
- Managing transitions.<sup>7</sup>

In this literature, we found many common elements and overlaps in leverage points consistent with our 4P framework. The most strategic contributions on how to accelerate, spread, scale up, and deepen social innovations points to several cross-cutting strategies. We have compiled them in Box 20 in Chapter 5.

The first four (Framing, Scaling out, Scaling up, Scaling deep) are frequently described in the literature as occurring sequentially, whereas the next two (Integrating and Accelerating) are particularly relevant to and aim at improving the quality and systemic approach of interventions. The final one (Learning) is a necessity consistently called for in any dynamic and complex problem area.

Our more specific recommendations in Section 5.2 all fall into one or more of these seven categories. Consider using Box 20 as a “check” on the field-building interventions you might consider: if planned activities do not contribute in one of these seven ways to rapidly advancing the field, should they be pursued now? Given that we see the field as currently in an emergent phase, following these seven strategies should help with the critical challenge of accelerating field building toward maturity.

## Notes

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2. Cleveland, J., P. Plastrik, J. Crowe, J. Curti, and W. Rickerson. 2016. *Leadership by U.S. Cities: Innovations in Climate Action*. Boston, New York: Innovation Network for Communities, Meister Consultants Group and Bloomberg Philanthropies.
3. O’Neil and Onike, 2016, see Endnote 1 (Appendix C1), p.7.
4. Depending on the boundary one draws around public health (e.g., being separate from or part of the medical field), one might argue that there has been a “pre-professionalization” phase, which would significantly extend the time needed to build the field to maturity.
5. O’Neil and Onike, 2016, see Endnote 1 (Appendix C1). The authors provide some empirical examples to illustrate their points: “The Rockefeller Foundation’s work on hookworm spanned 25 years; work on the field of public health lasted at least 60 years. Conversely, the Rockefeller Sanitary Commission made critical progress in institutionalizing public health in the American South in only five years—although whether those advances would have been sustained in the absence of the Foundation’s further work is unknowable.”
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## Appendix C3: Specific Recommendations for Adaptation Thought Leaders

Below, we provide specific recommendations for adaptation thought leaders. Recommendations are organized by the 4Ps of the field, presented in order of priority suggested for this group. They are consistent with, but in some cases more detailed than, the synthesis of recommendations offered in the report.

### Purpose

- Facilitate processes for others to define and find common ground around shared challenges (i.e., how their diverse concerns fit into a larger, more widely shared problem, and how adaptive solutions to them can produce resilience and other desired benefits).
- Help people contain unmanageably big problems to make them amenable to community action and expand problems that are too narrowly defined to embrace resilience building.
- Relentlessly communicate the scope and urgency of climate change, as well as the efficacy of solutions, in your spheres of influence.

### People

- Promote an approach to adaptation and transformation not merely from a technical or economic perspective, but from a community and relationship perspective.
- Use your visibility and influence to bring people together to jointly explore adaptation.

### Practice

- Facilitate processes for people to identify common problems; define a shared action agenda, including shared measures of adaptation progress and success; develop and implement solutions together; track progress; and learn.
- Use traditional media, new media, social media, and existing networks to share your own and others' leading ideas, insights, and approaches to adaptation.

- Serve as a role model through your words/actions on climate change and social equity.
- Disturb set ways of thinking about adaptation and resilience building, as well as about old ways of doing things that were not cognizant of climate change.
- Make your own fearlessness contagious.
- Bring people together for creative, collaborative innovation and solution finding.
- Become a sustained champion for socially just resilience building.
- Communicate shared goals across many forums and spheres of influence.
- Name issues of power and privilege head-on, and urge and facilitate conversations about them until appropriate actions are taken and behavior or policy changes are made.
- Educate yourself about and embark on the journey of becoming a “systems leader.”

### Pillars

- Foster hope by helping people find a unifying vision of a better future for themselves because, often, exciting solution options can set free new energies and open up new, previously unavailable resources.
- Recognize and communicate the need for transformative change.
- Set goals for resilience building that are not just incremental, but ambitious and transformative.
- Advocate for R&D and capacity building for adaptive and transformative change.

## Appendix C11: Specific Recommendations for Adaptation Practitioners

Below, we provide specific recommendations for adaptation practitioners (planners, engineers, utility managers, social/health service providers, natural resource managers, etc.). Recommendations are organized by the 4Ps of the field, presented in order of priority suggested for this group. They are consistent with, but in some cases more detailed than, the synthesis of recommendations offered in the main report.

### People

- First and foremost, approach adaptation not as a technical problem, but as a matter of building relationships across silos, organizations, disciplines, sectors, and all manner of difference so that it can be addressed systemically and holistically, meeting the needs, and building on the skills, knowledge, and resources of all involved.
- If you are not already part of a peer-learning network, join one; if there isn't one, create one that focuses on your adaptation-related needs.
- Collaborate with academics and investors to establish measures of adaptation success and progress that are linked to shared goals (and/or locally adapted versions of shared goals).
- Reach out to students and educators (high school-level and higher) to share professional journeys and the need for highly skilled adaptation professionals in different sectors and fields.

### Practice

- Seek out information and training to deepen understanding of climate science, including about the scale/pace of the problem; environmental systems; relevant mitigation and adaptation solutions, tools and supportive capacities; social justice and equity issues; and transformational adaptation.
- Commit to the highest ethical and professional standards for adaptation professionals.
- Establish and use a “whole-system” or “whole-community” approach as standard practice (i.e., approach all work from a systems perspective, conduct holistic assessments, collaborate across departments, organizations, and jurisdictions).
- On a voluntary or mandatory basis, bring “the whole system” into the room to design holistic adaptive solutions.
- If collaborations are new, build in sufficient time for collaborators to get to know each other, develop a shared language, and identify shared goals.
- Learn about empowerment and shared leadership.
- Mainstream equity into all elements of decision making.
- Partner with and jointly identify realistic and appropriate roles for the private sector in adaptation action.

- Work with academia and educators on developing practice-centered curricula.
- Conduct, offer, and invest in professional development.
- Reach out to and work closely with capable subject-matter experts, who are also skilled in change management, to build needed skills and capacities in all sectors of society.
- Foster a learning culture across your organizations (i.e., establish ongoing learning and evaluation practices to enable adaptive, improved practices).
- Educate yourself and/or seek expertise in transformational change.

### Purpose

- Relentlessly communicate the scope and urgency of climate change, as well as the efficacy of solutions, in your own organizations, with grantees, and in other arenas.
- Identify shared or overlapping problems (with or without climate change) that can be solved more effectively together with peers and those in other sectors, departments, or agencies; ensure that problems are solved in ways that close the resilience gap (mitigate, adapt, and foster social cohesion).
- Self-organize in existing professional societies or within societies of adaptation professionals around solving common problems.

### Pillars

- Seek the highest possible leverage point to make far-reaching adaptation interventions in existing systems and to establish proven local practices as widely as possible.
- Determine primary and secondary near- and long-term costs and benefits for your projects and capacity-building efforts, and regularly articulate those needs to government and philanthropic funders.
- Elicit expertise to make, and then advocate, the economic case for proactive adaptation solutions to decision makers.
- Freely share policy documents, model ordinances, and plans to facilitate spreading of effective or innovative adaptation policies.

## Appendix C12: Specific Recommendations for Adaptation Service Providers

Below, we provide specific recommendations for adaptation service providers (in non-profits, government, academia, and consultancies). Recommendations are organized by the 4Ps of the field, presented in order of priority suggested for this group. They are consistent with, but in some cases more detailed than, the synthesis of recommendations offered in the main report.

### People

- First and foremost, approach adaptation not as a technical problem, but as a matter of building relationships across silos, organizations, disciplines, sectors, and all manner of difference so that it can be addressed systemically and holistically, meeting the needs, and building on the skills, knowledge, and resources of all involved.
- If you are not already part of a peer-learning network, join one; if there isn't one, create one that focuses on your adaptation-related needs.
- Collaborate with academics and investors to establish measures of adaptation success and progress that are linked to shared goals (and/or locally adapted versions of shared goals).
- Use your networks and collaboratives to identify, promote, and enact shared values, goals, and actions around adaptation.
- Seek connections to experts and partners that address adaptation challenges in a systemic, holistic, and socially just fashion.
- In the context of specific place-based or sector-focused projects or programs, meet other adaptation service providers and explore complementary skills and capacities to establish collaborative ties and overcome competitive (and sometimes hostile) sentiments.
- Use your influence and facilitate processes that help diverse communities identify and move toward shared goals.
- Seek and/or offer a range of skill-building opportunities to develop greater competency in climate science, social equity and climate justice, and transformative capacities.
- Foster approaches that help spread, scale up, deepen, integrate, accelerate, and support learning about adaptation practices and their effectiveness.

### Practice

- Commit to the highest ethical and professional standards for adaptation professionals.
- Regularly assess changing needs of adaptation practitioners.
- Self-assess or have externally evaluated/validated what is considered best practice, and distill lessons from shortcomings and failures.
- Make the evidence base for best practices more transparent and quickly accessible through existing platforms and networks.
- Facilitate access to high-quality information.
- Collaborate on clearinghouses to minimize duplication and confusion.
- Wherever you enter the adaptation space, learn about local adaptation work already underway (e.g., led by local governments, non-profits, and grassroots organizations).

### Pillars

- Establish well-organized, searchable libraries of tools, information, and policies at widely known clearinghouses to enable easy sharing across sectors, sub-fields, and the field.
- Advocate for policy change at higher levels to scale up and spread promising or established best-practice approaches (based on accumulated evidence of what achieves goals effectively, efficiently, and equitably).
- Recognize the need for transformative change.
- Help clients set goals that are not just incremental, but ambitious and transformative.

### Purpose

- Become a stronger voice for the urgency of climate change as well as for equitable resilience solutions.
- Self-organize in existing professional societies or within societies of adaptation professionals around solving common problems.

## Appendix C13: Specific Recommendations for Adaptation Network Conveners

Below, we provide specific recommendations for adaptation network conveners. Recommendations are organized by the 4Ps of the field, presented in order of priority suggested for this group. They are consistent with, but in some cases more detailed than, the synthesis of recommendations offered in the main report.

### People

- First and foremost, approach adaptation not as a technical problem, but as a matter of building relationships across silos, organizations, disciplines, sectors, and all manner of difference so that it can be addressed systemically and holistically, meeting the needs, and building on the skills, knowledge, and resources of all involved.
- Form, join or maintain communities of practice and increase diversity within them.
- Apply best practices in effective networking to bring the greatest value to/meet the needs of the members of your networks.
- Ensure there is connection between individual sub-field networks and the larger field.
- Within your networks, foster approaches that help spread, scale up, deepen, integrate, accelerate and support learning about adaptation practices and their effectiveness.
- Foster a shared identity as adaptation professionals within your network.

### Practice

- Use your influence and facilitate processes that help diverse communities identify and move toward shared goals.
- Use your networks and collaboratives to identify, promote, and enact shared values, goals, and actions.
- Seek and/or offer a range of skill-building opportunities to enhance cultural competency, literacy in climate change and transformative capacities.

### Purpose

- Become a stronger voice for the urgency of climate change as well as for equitable resilience solutions.
- Identify shared or overlapping problems (with or without climate change) with peers and those in other sectors that can be solved more effectively together and ensure that problems are solved in ways that close the resilience gap (mitigate, adapt and foster social cohesion).

### Pillars

- Help members of your network identify the highest possible leverage points to make far-reaching adaptation interventions in existing systems and to establish proven local practices as widely as possible.
- Advocate for policy change at higher levels (on behalf of your network members) to scale up and spread promising or established best-practice approaches (based on accumulated evidence of what achieves goals effectively, efficiently, and equitably).
- Elicit expertise to make, and then advocate, the economic case for proactive adaptation solutions to decision makers.
- Recognize the need for transformative change.

**American Society of Adaptation Professionals**  
**Balance Sheet**  
As of March 31, 2018

	Total
<b>ASSETS</b>	
Current Assets	
Bank Accounts	
1020 Velocity Business Checking	333,572.65
1040 Velocity Share Savings	5.00
<b>Total Bank Accounts</b>	<b>\$ 333,577.65</b>
<b>TOTAL ASSETS</b>	<b>\$ 333,577.65</b>
<b>LIABILITIES AND EQUITY</b>	
Liabilities	
Total Liabilities	
Equity	
3000 Opening Balance Equity	53,293.22
Net Income	280,284.43
<b>Total Equity</b>	<b>\$ 333,577.65</b>
<b>TOTAL LIABILITIES AND EQUITY</b>	<b>\$ 333,577.65</b>

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**American Society of Adaptation Professionals**  
**Profit and Loss**  
October 2017 - March 2018

		<b>Total</b>
<b>Income</b>		
4000 ASAP Member Dues		9,568.42
4200 Grants		399,924.00
4400 Unrestricted Donations		1,000.00
<b>Total Income</b>	<b>\$</b>	<b>410,492.42</b>
<b>Expenses</b>		
6200 Bank Charges & Fees		356.10
6450 Dues & Memberships		250.00
<b>Total 6500 Staff Benefits</b>	<b>\$</b>	<b>6,948.41</b>
6550 Payroll Taxes		4,408.68
6610 Staff Airfare		557.10
6620 Staff Travel		2,673.00
6660 Staff Trainings, Seminars, & Conferences		696.50
7390 Sponsorships		800.00
7400 Rent & Lease		396.00
7415 Website Hosting & Registration		10.20
7420 Office Supplies, Books, & Software		529.03
7430 Computers & Tech Equipment		3,194.95
7450 Printing Services		815.00
7460 Postage & Shipping		182.09
<b>Total 7700 Salaries &amp; Wages</b>	<b>\$</b>	<b>42,458.32</b>
<b>Total 7750 Contractors</b>	<b>\$</b>	<b>62,094.00</b>
7760 Legal Services		1,000.00
7770 HR Services		1,975.00
7780 Audit & Accounting Services		925.00
8000 Taxes & Licenses		-61.39
<b>Total Expenses</b>	<b>\$</b>	<b>130,207.99</b>
<b>Net Income</b>	<b>\$</b>	<b>280,284.43</b>

**American Society of Adaptation Professionals**  
**Kresge Grant Report: Grant Year 12/17-11/18**  
 October 2017 - March 2018

		<b>Total</b>
<b>Income</b>		
4200 Grants		350,000.00
<b>Total Income</b>	<b>\$</b>	<b>350,000.00</b>
<b>Expenses</b>		
Total 6500 Staff Benefits	\$	6,948.41
6550 Payroll Taxes		4,408.68
6610 Staff Airfare		557.10
6620 Staff Travel		2,673.00
6660 Staff Trainings, Seminars, & Conferences		696.50
7390 Sponsorships		800.00
7400 Rent & Lease		396.00
7415 Website Hosting & Registration		10.20
7420 Office Supplies, Books, & Software		95.63
7430 Computers & Tech Equipment		3,194.95
7450 Printing Services		815.00
7460 Postage & Shipping		182.09
Total 7700 Salaries & Wages	\$	42,458.32
Total 7750 Contractors	\$	43,644.00
7760 Legal Services		1,000.00
7770 HR Services		1,975.00
7780 Audit & Accounting Services		925.00
8000 Taxes & Licenses		39.00
<b>Total Expenses</b>	<b>\$</b>	<b>110,818.88</b>
<b>Net Income</b>	<b>\$</b>	<b>239,181.12</b>

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**American Society of Adaptation Professionals**  
**Sant-Summit Grant Report**  
October 2017 - March 2018

	<u>Total</u>
<b>Income</b>	
<b>4200 Grants</b>	49,924.00
<b>Total Income</b>	<b>\$ 49,924.00</b>
<b>Expenses</b>	
<b>6200 Bank Charges &amp; Fees</b>	5.00
<b>Total 7750 Contractors</b>	<b>\$ 18,450.00</b>
<b>Total Expenses</b>	<b>\$ 18,455.00</b>
<b>Net Income</b>	<b>\$ 31,469.00</b>

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**ASAP Master Budget vs. Actual  
Dec 1, 2017 - March 31, 2018**

	<b>10 Month Simplified Budget*</b>	<b>3/31 Actual</b>	<b>% of Budget</b>
<b>Income</b>			
Sponsorships	\$ 24,990	\$ -	0%
Member Dues	\$ 43,316	\$ 9,568	22%
Donations	\$ 74,970	\$ 1,000	1%
Grants	\$ 291,550	\$ 399,924	137%
<b>TOTAL</b>	<b>\$ 434,826</b>	<b>\$ 410,492</b>	<b>94%</b>
<b>Expenses</b>			
Personnel	\$ 225,910	\$ 53,815	24%
Contractual	(\$49980 moved to Contracted Services)		
Travel, Conferences, Meetings	\$ 52,479	\$ 4,977	9%
Supplies	\$ 7,914	\$ 3,724	47%
Contracted Services	\$ 91,630	\$ 62,094	68%
Other	\$ 56,690	\$ 5,598	10%
<b>TOTAL</b>	<b>\$ 434,622</b>	<b>\$ 130,208</b>	<b>30%</b>

\* Master budget originally Dec 1, 2017 - Nov 30, 2018. Adjusted to Dec 1, 2017 - Sept 30, 2018

**ASAP Revenue Projections**

April 2018

	Submitted		To Be Submitted	
Committed	Kresge Foundation FY '19	\$250,000.00		
Likely	CRF FY '18	\$25,600.00	Summit Foundation FY '18-19	\$75,000.00
Hopeful	EPA FY '19	\$15,000.00		
	Great Lakes Protection Fund FY '18-20	\$575,000.00	Blackrock FY '19	\$30,000.00
Prospective			Robert Wood Johnson Foundation FY '19-	\$700,000.00
Total Restricted Funds		\$865,600.00		\$805,000.00

Other Income	Projected FY18	YTD	Anticipated	Difference
Membership Dues	\$43,160.00	\$9,568.00	\$28,500.00	-\$5,092.00
Corporate/Group Memberships	\$12,450.00	\$0.00	\$15,000.00	\$2,550.00
Event Sponsorships	\$12,450.00	\$0.00	\$9,750.00	-\$2,700.00
Board Fundraising	\$74,700.00	\$1,000.00	\$73,700.00	\$0.00
<b>Total Unrestricted</b>	<b>\$142,760.00</b>	<b>\$10,568.00</b>	<b>\$126,950.00</b>	<b>-\$5,242.00</b>

## Appendix C17: Specific Recommendations for Adaptation-Specific Professional Societies

Below, we provide specific recommendations for adaptation-specific professional societies. Recommendations are organized by the 4Ps of the field, presented in order of priority suggested for this group. They are consistent with, but in some cases more detailed than, the synthesis of recommendations offered in the main report.

### People

- First and foremost, approach adaptation not as a technical problem, but as a matter of building relationships across silos, organizations, disciplines, sectors, and all manner of difference so that it can be addressed systemically and holistically, meeting the needs, and building on the skills, knowledge, and resources of all involved.
- Foster community, shared values, common purpose, highest ethical and professional standards, positive social and professional relations, and collaboration on field-building initiatives.
- Form, join, or maintain communities of practice, and increase diversity within them.
- Seek collaboration with other (related, relevant) professional societies for exchange, collaboration, and joint efforts or projects.
- Foster a shared identity as adaptation professionals within your societies.

### Practice

- Create credible adaptation certification programs, training programs, and partnerships.
- Further elevate awards and professional recognition.
- Reach out to societies outside of the field for collaboration.
- Look to other, more-established fields for lessons and best practice in field development.

- Share core ideas with other professional societies, and illustrate how they are effective.
- Actively maintain ongoing relations (on boards, committees, joint projects or initiatives) with thought leaders, researchers, private-sector innovators, and youth for emerging ideas, knowledge updates, and fresh approaches and thinking.
- Engage with each other over a sustained period of time to get acquainted, learn from each other, find common ground, and identify shared actions (such as capacity building).
- Regularly review, evaluate, and update professional skills and standards and establish regular communication with educators and trainers.

### Purpose

- Become a stronger voice for the urgency of climate change as well as for equitable resilience solutions.

### Pillars

- Help members of your network identify the highest possible leverage points to make far-reaching adaptation interventions in existing systems and to establish proven local practices as widely as possible.
- Advocate—as law permits—for resilience and adaptation policy at federal, state, and regional levels.
- Recognize the need for transformative change.

## RECOMMENDED GOVERNANCE PRACTICES

The nonprofit boards best equipped to lead their organizations are self-aware, function in constructive partnership with their chief executives, and are committed to continually improving their performance. Boards can improve their effectiveness by the intentional adoption of good governance practices.

The BoardSource Recommended Governance Practices reflect BoardSource's decades of experience working with tens of thousands of board leaders and conducting extensive research on board practices. The practices articulate a roadmap for boards toward becoming a strategic asset for their organization, and are arranged in three categories: Essential Practice, Leading Practice, and Compliance Practice.

- **Essential Practices:** BoardSource recommends that all boards adhere to these practices to function successfully.
- **Leading Practices:** BoardSource recommends that all boards adopt these practices to move toward board excellence.
- **Compliance Practices:** These practices address legal requirements and BoardSource's recommended process for compliance.

Boards committed to adopting these practices can find extensive information about them in BoardSource's comprehensive library of resources and publications available at [boardsource.org](http://boardsource.org).

### ESSENTIAL PRACTICES

#### **E1 Meeting Attendance. Every board member must make it a priority to attend all board meetings and to miss a meeting only under exceptional circumstances.**

Meetings are when boards exercise their governance authority. One of the legal obligations for all board members is the duty of care. Without attending meetings — and preparing for them conscientiously — a board member is not able to participate in educated and independent decision making. As state corporation laws allow, the board may accept limited participation via teleconference, but such participation should not be considered a substitute for regular, in-person attendance. Board service is a commitment, and accepting a board position means the meetings must take priority over other obligations except in exceptional circumstances. Every board should have a meeting attendance policy and enforce it.

#### **E2 Term Limits. The board should adopt term limits.**

Regular turnover among board members encourages the board to pay attention to its composition, helps to avoid stagnation, offers the opportunity to expand the board's circle of contacts and influence, and provides a respectful and efficient method for removing unproductive members. Seventy-one percent of nonprofit boards have term limits for board members, and the most common are two consecutive three-year terms. Term limits do not prevent valuable members from remaining in the service of the organization or the board in another capacity. An exception is the family foundation that may have a limited pool of qualified and interested candidates.

# RECOMMENDED GOVERNANCE PRACTICES

**E3 Strategic Board Recruitment.** The board must be strategic about member recruitment and define an ideal composition for itself based on the organization's priorities at any given moment.

A matrix for board composition facilitates the board's strategic recruitment efforts. By analyzing the present composition of the board, the governance committee — or the full board if no committee is needed — is able to best determine what qualities, characteristics, and perspectives are already present on the board. When analyzed in light of the organizational strategies, a matrix helps the board identify where gaps exist and then direct recruitment efforts to fill those gaps.

**E4 Strategic Planning.** The board must play a substantive role with management in developing, approving, and supporting organizational strategy.

One of the board's primary responsibilities is to set the direction for the organization. Strategic planning serves as the road map for this direction and as the tool to assess progress. The full board needs to actively participate in and own the results of strategic planning.

**E5 Budget Approval.** The board must approve the annual budget.

Staff is responsible for developing the annual budget and, in conjunction with the finance committee, presenting it to the board for approval. As the fiduciary body for the organization, the board must ensure that the budget reflects the overall strategic direction and advances the long-term fiscal health of the organization.

**E6 Chief Executive Job Description.** The board must develop a written job description for the chief executive and together with the chief executive define the annual expectations.

The chief executive can remain accountable for his or her performance only if the position is well defined and annual goals and expectations are mutually agreed upon.

**E7 Chief Executive Evaluation.** The board must evaluate the chief executive's performance annually; the evaluation should be written and involve the full board.

A formal evaluation, based on well-defined and mutually agreed upon expectations, benefits and protects both the chief executive and the board. Even if the board chair or a committee leads the evaluation, the full board must participate by being given the opportunity to provide feedback, approve the final evaluation, and ensure all compensation recommendations are appropriate. The evaluation should include 360-degree feedback from the organization's leadership team so the board has an opportunity to gain additional insights from those working closely with the CEO on a daily basis.

**E8 Audit.** Every charitable organization (excluding houses of worship and those exempt from filing Form 990) with \$1 million or more in revenue should undertake an audit annually. It is the board's role to select the auditor and meet with him or her in an executive session without staff present to discuss the results.

The board is responsible for assessing the potential benefits and costs of an independent audit and determining when it is time to conduct one. When revenues reach the level of \$1 million, the organization is usually engaged in multiple and/or major financial transactions and must rely on an independent auditor's clarification that the financial statements present fairly the financial position of the organization. If the organization conducts outside audits, the board should ideally form a separate audit committee or task force, with no overlap with the finance committee, to facilitate the added responsibilities in fiscal oversight.

# RECOMMENDED GOVERNANCE PRACTICES

## LEADING PRACTICES

### **LP1 Consent Agendas. The board should include consent agendas in its board meeting agendas.**

Consent agendas promote good time management in meetings. The main purpose of a consent agenda is to liberate board meetings from administrative details, repetitious discussions, and routine tasks. The recovered time should be used for meaningful discussion, allowing the board to focus on issues of real importance to the organization and its future. For consent agendas to be successful, materials for review must be written and sent to the board prior to the meeting, and board members must commit to reading the materials before approving the consent agenda.

### **LP2 Executive Sessions. The board should have regularly scheduled executive sessions.**

Executive sessions provide a venue for handling issues that are best discussed in private, for fostering robust discourse, and for strengthening trust and communication. Distinguished by their purpose and participants, executive sessions serve three core functions: (1) they assure confidentiality, (2) they create a mechanism for board independence and oversight, and (3) they enhance relationships among board members and with the chief executive. Those organizations that must follow sunshine/opening meeting laws should verify their state statutes concerning executive sessions ([www.sunshinereview.org](http://www.sunshinereview.org)).

### **LP3 Board Diversity and Inclusion. The board should be intentional in its recruitment and engagement of diverse board members and foster a culture of inclusivity.**

To value diversity is to respect and appreciate race; religion; skin color; gender and gender identity; ethnicity; nationality; sexual orientation; physical, mental, and developmental abilities; age; and socioeconomic status. Boards should commit to diversity and inclusion by establishing written policies and practices, subject to regular evaluation, that address strategic and intentional recruitment and engagement of diverse board members and ongoing commitment to inclusivity, including equal access to board leadership opportunities.

### **LP4 Board Evaluation. The board should conduct a comprehensive self-assessment approximately every two years to evaluate its own performance.**

Only through structured self-reflection can board members judge their own collective performance and understand the extent of their individual responsibilities. Boards may choose to engage in more frequent evaluations, but it is usually not necessary to do a formal assessment every year. It is important to allow adequate time between assessments to implement identified improvements.

### **LP5 Board Orientation. The board should formalize its new member orientation process.**

The orientation process should be documented and streamlined to ensure all board members receive relevant and consistent information on their governance responsibilities, on the organization, and on the board's own expectations.

### **LP6 Bylaws Review. The board should review the bylaws periodically and ensure timely amendments when necessary.**

Bylaws formalize the board's structure and practices. The board's needs evolve over time, as do the external circumstances within which the organization and the board function. It is necessary to review the clauses periodically to verify their continued appropriateness and to assess what might be missing. An attorney should verify that the bylaws are in compliance with the state statutes.

# RECOMMENDED GOVERNANCE PRACTICES

**LP7 Chief Executive Serving on the Board.** The chief executive should be an ex officio, non-voting member of the board.

The chief executive's input in board meeting deliberation is instrumental and invaluable for informed decision making. However, to avoid actual or perceived conflicts of interest, questions concerning accountability, or blurring the line between oversight and execution, chief executives should be non-voting members of the board, unless not permitted by law.

**LP8 Board Job Description.** The board should have a written job description outlining the responsibilities of the full board and of individual board members.

Board service comes with expectations and obligations. A written job description defines the collective governance role of the board and reminds it of the various activities that need to be incorporated in the board's annual calendar. The board also should draft a separate set of expectations for individual board members to help them meet their legal obligations and engage productively in the board's work.

**LP9 Managing Conflicts of Interest.** The board should adopt a conflict-of-interest policy that defines what a conflict of interest is and how it is managed. The board and senior staff should sign annual conflict-of-interest statements, disclose known potential conflicts, and recuse themselves from participating in discussions and voting when conflicts do arise.

Board members must adhere to a legal duty of loyalty, making decisions based on the best interests of the organization. By actively managing conflicts of interest — real or perceived — the board is better able to remain independent and unbiased in decision making.

**LP10 Personal Giving.** If the organization engages in fundraising, every board member should make a meaningful personal contribution according to his or her means (while not conflicting with any legal stipulations); the board should attain 100-percent board giving.

By making a personally meaningful gift, each board member demonstrates his or her commitment and trust in the organization, which also enables him or her to function as a more credible fundraiser and inspire other donors.

**LP11 Board Retreat.** The board should include an annual retreat in its meeting schedule.

Retreats allow the board to focus on large and complicated issues that cannot be handled adequately in a regular board meeting. Every board needs to step back at times to reflect on its own responsibilities and practices or to discuss the future of the organization long-term. An informally structured retreat setting is most conducive to strategic discussions, as well as to strengthening the interpersonal dynamics among board members.

**LP12 Board Size.** The board should determine its optimal size based on its needs.

The primary guide for determining board size is the board's function, which may change over time. Numerous factors influence the composition and thus the size of the board: board responsibilities, committee structure, legal mandates, phase in the organizational life cycle, need for diversity, and maintaining a manageable group. It is impossible for an outsider to recommend a standard size for all boards. However, it is difficult to imagine that a board with fewer than five members is able to incorporate all the desired qualities and capacity or that an exceptionally large board is able to engage every member in a constructive manner. Regardless of size, all board members must be engaged, as all are equally liable for the organization.

# RECOMMENDED GOVERNANCE PRACTICES

**LP 13 Committees.** The board's standing committee structure should be lean and strategic and complemented by the use of task forces.

Only ongoing board activities warrant a standing committee. Other activities are best addressed by time-limited task forces, which are efficient and utilize board members' time, interest, and expertise in a meaningful manner.

**LP 14 Executive Committee.** If the board has an executive committee, its purpose and authority level must be defined in the bylaws.

Before forming an executive committee, the board should analyze its entire structure to determine whether that particular committee would add value. If the executive committee is given the power to act on behalf of the board, the bylaws need to define the limits of this authority; otherwise, it has the authority to make major organizational decisions that normally belong to the full board. To ensure that the full board remains in control and informed, decisions made by the executive committee should be confirmed by the full board at the following board meeting.

**LP 15 Governance Committee.** The board should either form a governance committee or ensure that the function of that committee is carried out.

Every board should ensure that recruitment is a continuous and deliberate activity of the full board. For most boards, a separate governance committee is the best structure to take the lead and responsibility for recruitment, ongoing board development, leadership development, board and board member assessment, and board education, and for ensuring that the board is equipped with proper guidelines and structure to do its work most effectively.

**LP 16 Form 990 Posting.** The nonprofit should post its Form 990 on its own Web site.

Form 990 is a public document and one of the primary tools to shed light on the organization and its finances, activities, and governance practices. By posting the Form 990 on the organization's own Web site and making it easily accessible, the board is supporting and promoting methodical transparency.

## COMPLIANCE PRACTICES

**C1 Meeting Frequency.** The board should have more than the one annual meeting required by law.

State laws usually require at least one annual meeting for all boards, but one meeting is insufficient for boards to address all the issues to which they need to pay attention. Other structures and practices (e.g., board size, reliance on committee work, length of meetings, life-cycle position of the organization, geographical constraints) can affect the necessary number of board meetings and the optimal frequency. The board must meet often enough to ensure it fulfills its fiduciary responsibilities without compromising its efficiency.

**C2 Executive Compensation.** The board must formalize a process for setting appropriate compensation for the chief executive and approve the compensation package.

The board needs to establish well-defined guidelines on how to determine appropriate compensation for the organization's chief executive. If the board offers too little, it could lose the chief executive to competing organizations; if it offers too much, it risks providing excess benefits and subjecting itself and the organization to intermediate sanctions. The board should follow the IRS's safe harbor measures and rely

# RECOMMENDED GOVERNANCE PRACTICES

on comparative data, have the compensation decision determined by independent board members, and contemporaneously record the decision-making process. The full board should approve both the process and the resulting compensation package.

**C3 Review of IRS Form 990. The full board should review the Form 990 before it is filed.**

Form 990 is the most widely viewed public document concerning the organization, its finances, activities, and governance practices. It is important that board members are familiar with its contents and that it accurately presents the organization to its constituents, donors, and media.

**C4 Document Destruction and Retention. The board must ensure that no records are destroyed when the organization is under federal investigation.**

Federal law states what must happen in the event the organization is under official investigation. All organizations should have a policy for document destruction and retention to ensure that the law is understood and respected.

**C5 Whistleblower Process. The board must ensure that no employee is punished or discriminated against because he or she reported improper conduct.**

Federal law states what must happen if alleged improper conduct is reported. All organizations should have a formal, written process to deal with complaints and prevent retaliation. If under investigation, the organization is responsible for showing that it follows a systemized process to address whistleblower cases.

# AMERICAN SOCIETY OF ADAPTATION PROFESSIONALS

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## Profile of an American Society of Adaptation Professionals Board of Directors Member

The ASAP Board of Directors is a working board. As such, board members will provide both strategic leadership and management support to achieve the ASAP mission, vision, and objectives. Board Members are expected to bring their enthusiasm and expertise to propel the organization toward a stable and impactful future.

**Mission:** American Society of Adaptation Professionals supports and connects climate adaptation professionals, while advancing excellence and innovation in the field of adaptation.

**Vision:** ASAP is the only organization that focuses solely on connecting and supporting the people who are building climate resilience across the country. Whatever your field, background, or expertise, ASAP is the premiere place to meet and connect with other professionals, get tips and updates on promising practices, stay up to date on the latest in climate adaptation, and share what you are learning from your work to build resilience.

**Achieving the Vision 2020:** By developing work plans through four program areas, ASAP staff and members will support the goals of a supported and connected membership network and a strong field of practice. These program areas are:

- **Advancing the Field** - Wherein ASAP activities promote and drive innovation across the adaptation field while evaluating practices and holding up promising practices to eliminate maladaptation, lessen redundancy and accelerate implementation of adaptation action.
- **Policy & Education** – Wherein ASAP’s diverse membership positions the organization to serve as a liaison between federal and state policy makers and on the ground practitioners. ASAP convenes members from different scales of government, ensuring federal and state regulations and incentives are understood at the local level and that local needs are communicated up to state, regional, and federal decision makers in a clear and efficient manner.
- **Voice for the Field** – Wherein ASAP tells the stories of adaptation action from across the United States. Through this program ASAP shares lessons, delivers critical resources for decision makers, and serves as a neutral third party to media outlets seeking information on adaptation practices and policies.

### **Governance & Board Activities:**

ASAP is managed by an Executive Director (*updated 2/2018*)

ASAP’s strategic direction is collaboratively designed by the ASAP board, membership, and staff

### **Time commitment expectations:**

Minimum of 5 hours per month

### **Current responsibilities of the board include (2017 - 2018):**

- Navigating the separation of ASAP from ISC’s incubation period
- Participate in board training
- Commit to attending one in-person ASAP Board meeting per year
- Attend virtual ASAP Board of Directors Meetings quarterly
- Provide overall strategic guidance to aid the development of the organization

# AMERICAN SOCIETY OF ADAPTATION PROFESSIONALS

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- Facilitate strategic partnerships through activating personal and professional networks
- Participate in at least one Affinity Group
- Help guide the work of the Managing Director
- Respond to requests from ASAP Managing Director

## **Individual Board Positions & Responsibilities:**

The ASAP board is a working board. You must be energized to make a significant contribution during a three-year term. General contributions include:

- Raising a minimum of \$10K per year from sponsors for support of member services and programs
- Engaging via regular board meetings to define goals, track progress, oversee finances and make critical decisions for the organization (approximately 30 hours per year, in addition to program/project hours).

In addition to contributing to the general board responsibilities each member will take on at least one major role, project or program each year. Anticipated roles for the year to come include:

1. Board Chair - Facilitates the board to set goals and culture, and to be accountable to commitments.
2. Treasurer - Oversees and signs off on the organization's finances.
3. Secretary - Acts as Vice Chair, supports on meeting logistics, make sure minutes and records are up to date.
4. Affinity Group Chair - Serves as the point of contact for all subcommittee co-chair people including affinity groups, working groups, and committees and brings concerns and questions from the subcommittee forward to the Board.
5. Fundraising Chair - Owns revenue generation from sponsors, major donor, and foundations.
6. Other special projects or activities – For example leading a new award program, mentor program, or grant supported initiative.

## **Financial Snapshot (April 2017):**

Current Annual Operating Budget: \$250,000

Annual Dues Revenue: \$30,000

Corporate Sponsorship: \$0

Grant Funding through December 2017: \$280,000

# AMERICAN SOCIETY OF ADAPTATION PROFESSIONALS

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## 2018 ASAP Board of Directors Election Guide

### 2018 ASAP Board of Directors Election Process

In accordance with the American Society of Adaptation Professionals bylaws annual election of board members must take place. The following sections of the bylaws relate to the process:

**Section 3.03. Number of Directors.** The Board will consist of not less than three (3) and not more than nine (9) Directors. Upon majority resolution of the Board, the number of Directors may be increased or decreased from time to time, but in no event will a decrease have the effect of decreasing the total number of Directors to less than three (3) Directors.

**Section 3.04. Term of Directors.** Directors shall serve terms of three (3) years. A Director may succeed himself for only one consecutive term. After serving two (2) consecutive terms, a Director must vacate his position for at least one year before seeking re-election to another term.

**Section 3.05. Election of Directors.** Elections for Directors filling terms that are ending will be held at the Annual Membership Meeting. When a reappointment or replacement is made, the reappointment or replacement is effective on the date that the prior term expired (i.e., the new term does not begin on the date of the election). Directors whose terms have expired may continue serving until they are either reappointed or their successors are chosen.

**Section 3.07. Staggered Terms.** There will be staggered terms of office for Directors so that one-third (1/3) of the directorships will be up for election each year (or if the number does not evenly divide by thirds, the Board will be divided as close to thirds as possible). The system for staggered terms of office will be implemented as follow: At the meeting of the Board at which these Bylaws are adopted there will be a drawing to determine the initial terms of the Directors. After the drawing, one board member will have an initial term of one year, one board member will have an initial term of two years, and one board member will have an initial term of three years. The minutes of this board meeting will show the results of the drawing. Initial directors serving less than a full three-year term as their initial term (i.e., directors who draw a one-year term or two-year term), will be considered to have served a full three-year term for purposes of the limits on successive terms.

**Section 4.01. Location of Board Meetings.** Regular Meetings of the Board will be held at the location designated by the President or Board. Board meetings may also be held via telephone or similar communication equipment, or another suitable electronic communications system, including videoconferencing technology or the Internet or any other technology that allows for concurrent communication of all Directors entitled to participate as designated by the President or Board.

# AMERICAN SOCIETY OF ADAPTATION PROFESSIONALS

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**Section 4.02. Regular and Special Meetings.** The Board will hold a regular meeting annually, which will be known as the Annual Meeting. Regular Meetings of the Board will be held twice a year, or more frequently as deemed necessary by the Board. Special Meetings may be called by the President or by any three (3) of the Directors.

**Section 4.03. Notice of Meetings.** Notice of the Annual and Regular Meetings of the Board will be given to each Director at least seven (7) days prior to the meeting. Notice of each Special Meeting of the Board will be given to each Director at least three (3) days prior to the Special Meeting. Special meetings called to amend the Certificate of Formation or Bylaws of the Corporation will require no less than ten (10) days prior notice. Notice may be given via any acceptable means including but not limited to regular mail, e-mail, or telephone call (including voice mail).

## **Recommended Nomination Process:**

- Current ASAP Board Members will identify and recruit 3 - 5 top candidates for ASAP Board. The Governance Committee will host this effort between May 1, 2018 - June 1, 2018.
- A call for nominees will be distributed to all ASAP members on June 1, 2018.
- Members may nominate (including self-nominations) through an online form between June 1 and June 15, 2018. (*2 week nomination period*)
- All viable candidates will be featured on the ASAP Election Webpage and nominees biographies will be distributed via e-newsletter two times to all active (dues paying) ASAP members.
- Candidacy requirements include active status (dues paying status) as an ASAP member, a written nomination, and a written acceptance of the nomination.
- All candidates will be allowed a 300 word biographical sketch accompanying their name, professional affiliation, duration of ASAP membership and current roles within ASAP. Candidates are responsible for submitting their materials to ASAP staff for inclusion in the candidate list. Candidates may choose to use the nominating summary as their personal statement.

*Example of a candidate listing:*

**Josh Foster**, University Program Manager, NW Climate Science Center (NWCSC)

ASAP Founding Member

ASAP Board of Directors, ASAP Code of Ethics Working Group, ASAP Policy Committee

[Personal Bio and statement of interest in serving on the ASAP Board]

## **Election Process**

- Each ASAP Member will be permitted to vote for 3 candidates to join the ASAP Board of Directors.
- Voting will be conducted electronically July 2, 2018 through August 4, 2018
- Final results of the election will be announced at the ASAP Member Meeting and posted on the ASAP website in August 2018.