



CSBA's Candidate Code of Ethics

Adopted by the CSBA Board of Directors on May 18, 2018

The candidate is responsible to personally comply with the Standing Rules governing campaigns for CSBA office and ensure that anyone supporting their campaign also complies with the Standing Rules governing campaigns for CSBA office.

Violation of the Rules for Campaigns for Officers, Directors, and Directors-at-Large in Standing Rule 226 may result in the imposition of sanctions as described in Standing Rule 227. By signing this form, the candidate agrees to comply with CSBA's Standing Rule 226 governing campaigns for CSBA office, and acknowledges that they understand the Campaign Complaint Procedure and Sanctioning Guidelines in Standing Rule 227.

As a candidate for the office of Vice President or for the office of President-elect, I agree without reservation to follow the rules for campaigning for CSBA office established in the Standing Rules. I understand that violation of the Standing Rules may lead to the imposition of sanctions against me as described in Standing Rule 227.

Candidate for CSBA Officer

Date

Attachment:

Standing Rules 226 and 227

CSBA Standing Rules 226 & 227

(Amended April 2019)

SR 226 Rules for Campaigns for Officers, Directors, and Directors-at-Large

CSBA is committed to a high level of civility, respect, and ethical behavior in the process leading to membership on the CSBA Board. While it is recognized that candidacy, nomination and election for any office, particularly within a large and diverse association, has a political dimension, all will benefit if the process is characterized by ethical, professional, and civil behavior.

All involved in the process must strive to avoid even the appearance of impropriety.

The Rules for Campaigns are intended to impose limitations on campaign activities to ensure that CSBA campaign principles are upheld. As such, CSBA campaigns shall:

- be limited to the voting members and exclude outside influences;
- minimize the number of campaign-related contacts in any form from candidates or others on behalf of candidates;
- allow equal opportunity for all candidates by limiting campaign costs and minimizing the need for professional or specialized promotion expertise.

A. Definitions

1. A **candidate for a CSBA officer position** is an individual who has submitted a completed Declaration of Candidacy Packet and has been determined eligible per Standing Rule 223(A) or 223(B).
2. A **candidate for Director-at-Large** is an individual who has submitted a completed Nomination Packet per Standing Rule 224(2).
3. A **candidate for Director** is an individual who has submitted a Candidate Form per Standing Rule 224(1).
4. A **prospective candidate** is an individual who has initiated the process to become a candidate, such as seeking nomination or support for candidacy.
5. A **campaign** is initiated when any member or any prospective candidate has made a decision to run for office, regardless of whether a formal candidate form or packet has been submitted.

6. **Campaign literature** is any document distributed by or on behalf of a candidate that promotes the candidacy of any candidate.

B. General Rules for Candidates

1. Candidates and prospective candidates for CSBA officer positions shall not lobby or seek endorsement from members of the Nominating Committee.
2. Candidates and prospective candidates shall not disparage through misinformation, gossip, or innuendo any other candidate or prospective candidate.
3. Candidates and prospective candidates shall engage in any campaign in a professional manner, focused on growing and strengthening the organization.
4. Each candidate shall abide by the Rules for Campaigns as described in Section F below.

C. Rules for Members of the Executive Committee

1. Officers may respond to requests for information from the Nominating Committee, but may not otherwise comment, endorse, or provide their opinion to others regarding candidates or prospective candidates.
2. Officers who are candidates are not limited by the restrictions in C (1) with respect to the office for which they are a candidate, and are subject to the rules for candidates and campaign activities in Section F below as those rules apply to their own campaign.
3. Officers shall not disparage candidates or prospective candidates through misinformation, gossip, or innuendo.
4. Officers shall engage in any campaign in a professional manner, focused on growing and strengthening the organization, and as befits their position as an Officer.

D. Rules for Members of the Board of Directors

1. If asked, Directors may provide verbal information, comments, endorsements, opinions, or other influential verbal communications to others regarding candidates or prospective candidates.

2. Directors may not provide written information, comments, endorsements, opinions, or other influential communications regarding candidates or prospective candidates. Written comments include comments that are memorialized on paper or in any electronic format including email, social media platforms, or any other form of written communication.
3. Directors may write a letter(s) of recommendation for officer candidates for inclusion in the declaration of candidacy packet.
4. Directors shall not disparage candidates or prospective candidates through misinformation, gossip, or innuendo.
5. Directors shall engage in any campaign in a professional manner, focused on growing and strengthening the organization, and as befits their position as Director.

E. Rules for Members of the Delegate Assembly

1. Delegates may provide information, comments, endorsements, opinions, or other influential communications to others regarding candidates or prospective candidates in writing or verbally.
2. Delegates may write a letter(s) of recommendation for officer candidates for inclusion in his/her declaration of candidacy packet.
3. Delegates shall not disparage candidates or prospective candidates through misinformation, gossip, or innuendo.
4. Delegates shall engage in any campaign in a professional manner, focused on growing and strengthening the organization, and as befits their position as Delegate.

F. Rules Regarding Campaign Activities

1. Candidates, and those who campaign on behalf of candidates, must limit their campaigning to the rules provided in this section.
2. The following campaign activities are prohibited:
 - a. Campaigning that includes any travel outside of the candidate's region to specifically promote their candidacy, including obtaining endorsements.

- b. Any reception, meeting, or any other event that specifically promotes a CSBA candidacy except for the CSBA sponsored, no-host reception.
 - c. Election gimmicks or other attention getting devices or items. These include, but are not limited to, pins, banners, signs, posters, balloons, hats, or any other antic, item or activity that promotes a candidate or prospective candidate by name, position, or by other means.
3. CSBA will hold a no-host reception for all candidates at the Delegate Assembly. No other election-related reception(s) may be held.
4. Costs of CSBA campaigns should be limited to the allowed mailing and reproduction of campaign literature distribution as described below.
5. Distribution of written campaign literature that is intended to promote a candidate or candidacy by the prospective candidate, by the candidate, or by anyone acting on behalf of a prospective candidate or candidate, is limited as follows:
 - a. Distribution of any campaign literature should be directed only to voting members of the Delegate Assembly. Officer candidates are allowed to distribute campaign literature both in a post office mailing and by email in conformance with the limitations outlined below. Director-at-Large candidates are prohibited from mailing campaign literature, but may email campaign literature in conformance with the limitations described below.
 - b. Mailed literature shall consist of a single mailing of no more than one, 2-sided, 8 1/2" x 11" document or flyer. Upon the request of a candidate, including those officer candidates who have filed an intention to run from the floor and who have completed the declaration of candidacy packet, CSBA will provide, no later than November 5, one set of labels to facilitate a single postal mailing. Candidates for Director-at-Large are prohibited from mailing campaign literature and will not be provided CSBA mailing labels.
 - c. Emailings are limited to a single text-only email, no more than 400 words, forwarded as submitted to any or all voting members of the Delegate Assembly, including Officers and Directors. No photos, videos, or other attachments are allowed. Upon the request of a candidate no later than November 5, including those officer candidates who have filed an intention to run from the floor and who have completed the declaration of candidacy packet, CSBA will facilitate a single emailing. Candidates for Director-at-Large may also request, no later than November 5, that CSBA facilitate a single emailing on their behalf. CSBA will

forward the emails within one week after the November 5 deadline. Emails will be sent out with a subject line that reads: “On behalf of (insert Candidate’s name), Candidate for CSBA (insert office title).” At the beginning of the email, the following text will appear: “CSBA is forwarding this email on behalf of (candidate name) to CSBA’s Delegate Assembly, pursuant to Standing Rule 226.”

- d. A single one-page, 8 1/2" x 11", two-sided flyer shall be distributed only by the CSBA staff at the Delegate Assembly meeting and must be provided by the candidate in sufficient quantity for that purpose no later than 12:00 Noon on the day before the election. The staff will not duplicate such literature. No other handouts, campaign literature, or other campaign materials shall be distributed or allowed at the Delegate Assembly meeting.
6. The use of social media platforms including, but not limited to, Facebook postings, is limited to a single post that may be linked across all social media platforms. Candidates, or prospective candidates, shall not spend money to increase visibility of their single social media post or any other post intended to promote their candidacy.

SR 227 Campaign Complaint Procedure and Sanctioning Guidelines

A. General Guidelines

1. This section contains the complaint procedure for campaign violations and guidelines for potential sanctions for violating campaign rules.
2. It is the responsibility of all candidates to know and abide by the campaign rules (SR 226).
3. Sanctions may be influenced by the date of the violation or discovery and/or reporting date of the violation.
4. Initial receipt and evaluation of complaints and recommendations regarding sanctions will be the responsibility of the Elections Oversight Committee (SR 229).
5. In general, the Elections Oversight Committee should evaluate whether to recommend sanctions based on two main concerns: “Does the conduct violate CSBA’s Rules for Campaign Activities?” and “Does the violation give the candidate who committed it an unfair advantage in the campaign?”

6. Sanctions should be imposed proportionally to the level of the violation. The purpose of imposing sanctions is to discourage future violations and when possible, to address any unfair advantage the candidate may have gained by committing the violation.
7. The sanctions described below are provided as guidance for the Elections Oversight Committee. Based on their findings, the Elections Oversight Committee may recommend any of the suggested sanctions in Section D, alternative sanctions, or no sanctions.

B. Reporting of Complaints

1. Complaints shall be submitted to the Elections Oversight Committee in care of the CSBA Executive Director.
2. The CSBA Executive Director shall immediately report all complaints to the Elections Oversight Committee and to the CSBA President.
3. Complaints shall be submitted in writing by mail, fax, email, or other such recorded means, and shall be received on or before January 15. Complaints should generally be submitted within 10 days of discovery of the alleged violation.
4. Anonymous reports will not be acted upon. Contact information of the author of the complaint must be included.

C. Due Process

1. The Elections Oversight Committee has responsibility to review and initiate an internal investigation of all complaints.
2. The Elections Oversight Committee may advise the Executive Committee that an investigation by a third-party investigator is warranted. If the Executive Committee agrees that an investigation is warranted, it shall make a recommendation to the Board of Directors to hire an investigator. The Board of Directors shall decide whether an investigation of the complaint by a third-party investigator is warranted. If the Executive Committee does not agree that a third-party investigator is warranted, the matter is referred back to the Elections Oversight Committee for an investigation.
3. Following the completion of the investigation of the complaint by the Elections Oversight Committee or by an investigator, the Elections Oversight Committee will identify the level of any violation, and when applicable, recommend sanctions to the Executive Committee.

4. For minor infractions (Level 1), the Executive Committee can impose sanctions as appropriate and shall notify the Board of Directors.
5. Moderate or severe violations (Levels 2 & 3) shall be presented to the Board of Directors by the Executive Committee for deliberation and any action.
6. Upon conclusion of the investigation, notification shall be provided to the subject of the complaint, and the complainant, by CSBA's General Counsel at the direction of the Executive Committee and/or the CEO & Executive Director.
7. All complaints that result in a finding of violation will be reported by the Board of Directors to the Delegate Assembly.
8. During the course of the investigation, any person alleged to have committed a campaign violation(s) may not participate in any deliberations and decision making related to the alleged violation.

D. Levels of Violations and Potential Sanctions

1. Level I: Minor Violation

- a. Infractions at this level give the candidate little if any unfair advantage.
- b. Examples include immaterial, inadvertent or unintentional violations of Standing Rule 226 (Rules for Campaigns for Officers, Directors, and Directors-at-Large).
- c. Sanctions may include an official warning from the Executive Committee, and/or a minimal restriction of the candidate's campaigning rights.

2. Level II: Moderate Violation

- a. Infractions at this level include violations of Standing Rule 226 (Rules for Campaigns for Officers, Directors, and Directors-at-Large) that give the candidate an unfair advantage.
- b. Examples include, but are not limited to, violating:
 - i. Literature production and distribution limitations.
 - ii. Executive Committee or Board of Director endorsement limits.
 - iii. Election-related reception ban.

- c. Possible sanctions by the Board of Directors may include but are not limited to:
 - i. Official warning.
 - ii. Restriction of the candidate's campaign, which may include, but is not limited to, the prohibition of distribution of campaign literature, of participation in the Candidate Forum, and/or of attendance at CSBA's Candidate Reception.
 - iii. Placement of the phrase "violated election rules" next to the candidate's name on the ballot.
 - iv. Suspension of some or all campaign activities in the candidate's next campaign.
 - v. Censure by the Board of Directors.

3. Level III: Severe Violation

- a. Infractions at this level significantly or substantially give the candidate a considerable, unfair advantage.
- b. Examples may include, but are not limited to:
 - i. Providing false information on the Candidate Conflict of Interest Disclosure Form or other forms included in the Declaration of Candidacy packet.
 - ii. Committing multiple or repeated moderate violations.
 - iii. Using intimidation tactics.
 - iv. Providing false or misleading information during an investigation.
- c. Possible sanctions may include, but are not limited to:
 - i. Revocation of all campaigning rights.
 - ii. Removal of the candidate from the ballot.
 - iii. Prohibition from running from the floor.
 - iv. Ineligibility to be a candidate in the next election.
 - v. Removal from office by the Delegate Assembly as provided for in the Bylaws.