

ASCE POST-DISASTER ASSESSMENT MANUAL

Prepared by ASCE Task Committee on Engineering Review Procedures

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Contents

1.0	Purpose and Scope of Manual.....	3
2.0	Launching an Assessment.....	3
3.0	Funding of Assessments.....	6
4.0	Selection of Team Leader.....	8
5.0	Selection of Team Members.....	9
6.0	Coordination with other Organizations.....	11
7.0	Schedule.....	12
8.0	Staff Support.....	13
9.0	Public Communication.....	14
10.0	Assessment Team Responsibilities, Conflicts of Interest.....	16
11.0	Team Findings.....	16
12.0	Publication of Assessment Team Report.....	17
	Appendix A – ASCE Post-Disaster Assessment Team Request Form.....	19
	Appendix B – Model ASCE Assessment Team Media Policy.....	22
	Appendix C – Acknowledgement of Ethics and Professional Responsibilities, Terms and Conditions, and Waiver and Release.....	25
	Appendix D – Conflict of Interest Disclosure Form.....	27
	Appendix E – Guidelines for Compliance with ASCE’s Conflict of Interest Policy.....	30
	Glossary of Terms and Abbreviations.....	35

1.0 PURPOSE AND SCOPE OF MANUAL

The purpose of this manual is to provide general guidance for the formation and operation of ASCE post-disaster assessment teams (assessment team or team). Each disaster may entail unique conditions requiring special considerations in the formation and operation of a team or teams. Previously, ASCE has conducted post-disaster assessments under varied conditions and in various countries, and ASCE also has been involved in peer reviews of the post-disaster assessment efforts of others. For purposes of this manual, the terms “assessment” and “assessment team” apply to both activities. Recognizing that different approaches may be necessary to address the unique conditions surrounding a particular disaster and that there are a number of related organizational entities (technical councils, divisions, committees, and Institutes) within ASCE, this manual provides overall guidance while leaving specific Team instructions to the discretion of the organizational entity involved. The manual shall serve as a guide for all individuals involved in conducting an ASCE assessment and does not apply to individual ASCE members conducting similar assessments for other public or private organizations—that is, not sponsored by ASCE. The manual was written to be consistent with all ASCE policies related to post-disaster assessments. However, it shall be the responsibility of the ASCE organizational entity authorizing the team to resolve any policy conflicts that should arise in the future.

The primary purpose of ASCE post-disaster assessments is to evaluate the behavior of various engineered facilities under extreme conditions and to learn from the behaviors observed. The goal of these assessments is to document lessons learned regarding the causes of failures, restoration efforts, restoration times, and success stories.

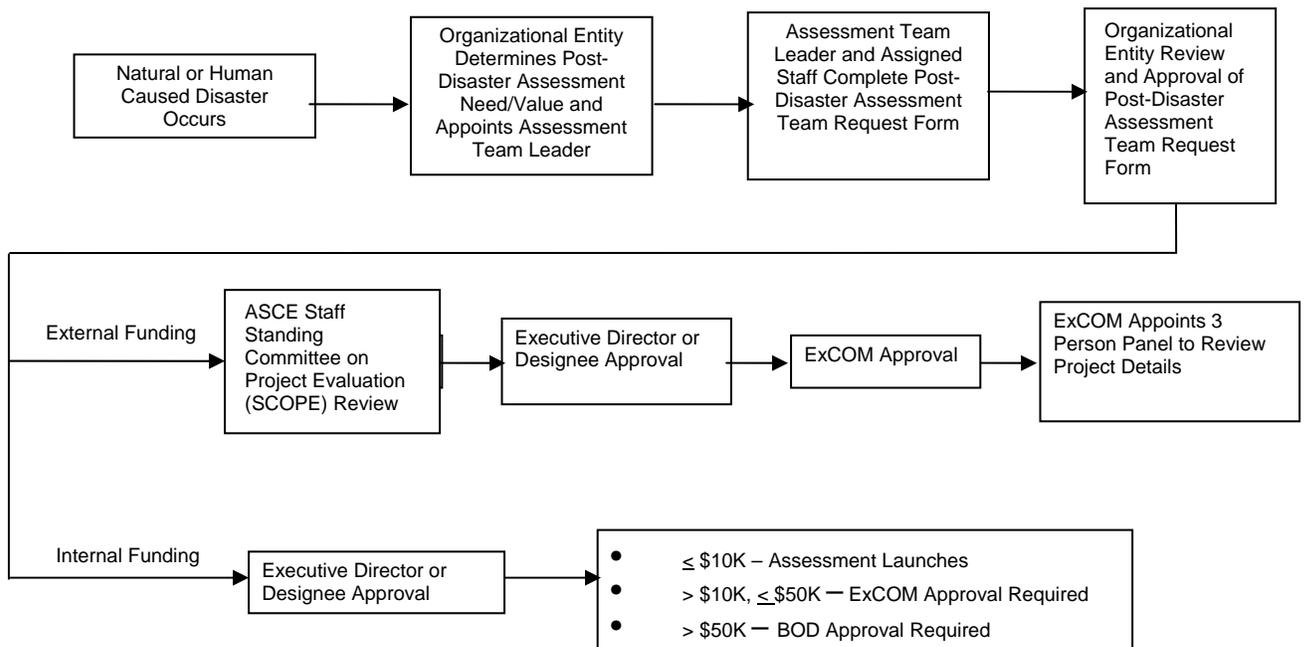
This manual applies to post-disaster assessments of both natural and human-caused disasters including but not limited to: earthquakes; landslides; floods; hurricanes and tropical storms; wind; snow; ice; tsunamis; tornados; wildfires; power outages; terrorist attacks; and industrial, chemical, and biological events.

This document addresses the process for making the decision to launch an assessment as well as outlining the overall purpose, funding, and operation of the team effort so that assessment teams can be assembled, assessments conducted, and findings reported correctly and in a timely manner.

2.0 LAUNCHING AN ASSESSMENT

Within ASCE there are various organizational entities that regularly undertake post-disaster assessments. The governing bodies for such organizational entities may coordinate the initial assessment team formation process directly or may designate a group of specialists, experienced in the evaluation of disaster

damage within their specific areas of practice to lead the effort. Following an event, the governing body of the relevant organizational entity shall designate a team leader who shall complete and submit the ASCE Post-Disaster Assessment Team Request Form (Appendix A) to the governing body for approval. Upon approval, the governing body shall forward the recommendation and the completed form to the ASCE executive director or designee for final consideration. No assessment team shall be authorized without the approval of the ASCE executive director or designee. Depending on the source and amount of funding involved, the additional approval of the ASCE Executive Committee (ExCOM) or ASCE Board of Direction (BOD) may be required. Figure 1.0 below illustrates the process for launching an ASCE assessment.



Decision-Making Flowchart
Figure 1.0

In determining whether to organize an assessment team the following criteria must first be met,

- (i) The assessment is consistent with ASCE's purpose, vision, mission, and goals, including specifically the advancement of the science of engineering and engineering education; and
- (ii) The assessment involves ASCE's production of widely disseminated deliverables in the form of publications, articles, conferences, and/or continuing education.

Additional considerations may include the following:

- (iii) The assessment is of national or international significance, has implications for the civil engineering profession, and provides substantial public benefit via improved performance of engineered facilities in future disasters;
- (iv) The assessment involves circumstances requiring independent, objective, and credible review;
- (v) The assessment requires the identification and coordination of a team of engineering experts and/or an unusual depth of expertise;
- (vi) The assessment would not compete with customary engineering firm services;
- (vii) Accuracy and availability of damage information;
- (viii) Geographic location and site accessibility as well as specific site safety considerations (for example, with respect to international events, can visas easily be obtained?);
- (ix) The assessment is within the scope and capabilities of the respective ASCE technical council, committee, or Institute;
- (x) The assessment involves new lessons to be learned that add to the body of engineering and scientific knowledge, and the resulting assessment provides meaningful, practical information to ASCE members and the public;
- (xi) The assessment includes data that are perishable;
- (xii) Are there other teams being deployed to the disaster site? Will there be duplication of efforts? If so, can the inspections be coordinated to avoid duplication? Is there an opportunity to collaborate with other groups; and
- (xiii) Is external funding required?

ASCE organizational entities that do not regularly conduct post-disaster assessments may contact ASCE staff for guidance in submitting an ASCE Post-Disaster Assessment Team Request Form (Appendix A) directly or for referral to another ASCE organizational entity for assistance in selecting a team leader and conducting a preliminary evaluation of the disaster to determine if an assessment is warranted. The team leader shall have the responsibility to train and otherwise ensure that the team members are apprised of the requirements of the assessment, including procedures, work products, and safety issues. Assessment teams must comply with access, safety and other requirements established by those in control of disaster sites, usually a government agency. Before launching an assessment, the ASCE team must assure itself that such site specific requirements will enable a thorough review of the disaster and are consistent with ASCE's standards. Team leaders shall have the authority to assemble and deploy assessment teams as granted by the ASCE executive director or designee. Each team leader and associated assessment team shall mobilize, deploy, and conduct assessments on the basis of the specific needs of the project.

Individuals involved in an assessment may need to monitor the effects of the event, determine if vulnerable systems have been damaged, and disregard misinformation that is often released during or after major events.

3.0 FUNDING OF ASSESSMENTS

3.1 ASCE Funding

ASCE solicits and retains voluntary contributions from its membership for the purpose of funding post-disaster assessments. It is expected that these funds will be sufficient to finance most assessments undertaken by the Society.

As codified in article 5.0 of the Society's Rules of Policy and Procedure, the ASCE executive director is authorized to commit up to \$10,000 from the ASCE Voluntary Fund to cover ordinary travel expenses incurred by an assessment team. Reimbursement is permitted for reasonable, actual travel expenses but is limited to members of ASCE and its institutes.

Funding requirements in excess of \$10,000 but not greater than \$50,000 can be authorized by the ExCOM. If the ExCOM authorization is required, additional time for approval should be expected.

For major incidents requiring unbudgeted funding in excess of \$50,000, approval of the ASCE Board of Direction is required. The process for board approval can be time intensive, but in extraordinary circumstances board approval can be expedited.

Institute and TAC funds that are budgeted for supplemental assessment team travel can be authorized, within budget limits, by the institute director. Reallocation of Institute funds for supplemental assessment activity can be approved by the institute's Board of Governors.

3.1.1 Travel Expenses

A budget and itinerary for the assessment activity must be prepared for review and approval by the executive director or designee prior to expenditure of Society funds. The purchase of airline tickets, hotel deposits, or any commitment of Society funds cannot be made without the written approval of the authorized ASCE staff.

3.1.2 Consulting Expenses

Team members are not eligible for honoraria or compensation from Society or institute funds for their time for serving on an assessment team.

Contracts for editorial assistance or subject matter expertise can be executed by authorized ASCE staff, as appropriate, using budgeted or approved funds.

3.2 External Funding

For extraordinary events, ASCE may accept funding for an assessment team from an external source such as a federal or local governmental agency. Such funding shall be accepted only when approved by the ExCOM and when it is consistent with this manual and all other ASCE policies, procedures, and guidelines.

External funding is processed by the ASCE Department of Grants and Contracts in accordance with the Society's accounting policies, procedures, and controls.

Work performed using external funding sources shall be subject to review and approval of a panel of three ASCE members appointed by the ExCOM. All nominees for the three-member panel shall submit a completed Conflict of Interest and Disclosure Form (Appendix D). Panel members shall not receive compensation for their service, but shall be eligible to receive travel reimbursement in accordance with the ASCE Rules of Policy and Procedure.

In exceptional circumstances, when an externally funded assessment requires team members to provide extensive services or time commitments beyond that typically expected of team members, the ExCOM may approve honoraria or compensation for members of an assessment team. If such compensation is approved, it shall be monitored by the three-member panel appointed by the ExCOM to ensure that the work is being performed in compliance with ASCE's policies and in accordance with the ASCE Code of Ethics. Such compensation shall be in addition to travel reimbursement permitted under ASCE's Rules of Policy and Procedure and this manual and must comply with the terms of the specific grant or contract with regard to allowances for travel expenses, honoraria, compensation for time, writing and editing, or subject matter experts.

Participation by non-ASCE member consultants may be authorized as needed for externally funded assessments and shall be subject to review by the appropriate governing body and by the three-member panel appointed by the ExCOM. Compensation for such consultants shall be provided in addition to travel reimbursement in accordance with the ASCE Rules of Policy and Procedure and this manual.

ASCE must be careful to only accept funding for assessments where independence and objectivity can be assured, and external funding proposals should be carefully evaluated for both actual and perceived conflicts of interest.

Peer review of work done by or for owner agencies can be conducted by ASCE teams subject to the owner agency's understanding and acknowledgment that the Society shall maintain strict ethical boundaries when conducting such work.

Agents of a funding source may not participate as a member of the assessment team, in the assessment team's selection, the assessment team's work, or closed meetings of the assessment team and may not contribute to the team's work product. Representatives of the funding provider can be extended an invitation to participate in open meetings of the assessment team and be allowed to express opinions for consideration by the team.

4.0 SELECTION OF TEAM LEADER

The governing body of the authorizing ASCE organizational entity shall appoint the team leader to prepare a final recommendation for launching an assessment team. For instance, for an assessment being conducted by the Structural Engineering Institute (SEI), the authorization responsibility would reside with the Board of Governors of SEI and hence the Board of Governors would appoint the team leader.

Nominations for the position of team leader may be made by the members of the governing body or by ASCE staff. The authorizing body need not consider multiple nominations. Organizational entities that regularly undertake post-disaster assessments are encouraged to establish a pool of prequalified team leaders for a particular type of assessment. In the absence of an appropriate pool of prequalified team leaders, nominees for this position should be evaluated on the basis of the following:

- Technical knowledge
- Experience in conducting assessments
- Experience leading assessments and/or teams/committees
- General leadership capabilities
- Experience with the media
- Public and extemporaneous speaking skills
- Translation needs if event is in a non-English-speaking country
- Time availability
- Team leader should not be a local resident
- Personal funding requirements
- Performance in meeting volunteer commitments and deadlines
- Licensure – It is strongly preferred that the team leader be licensed, and the team leader may need to be licensed in the jurisdiction of the event.
- Physical restrictions
- International travel requirements—that is, the ability to obtain a visa
- Security clearances required

Conflicts of interest--real and perceived--and the disclosure thereof internal and external to the Society

All nominees being considered for the position of team leader shall submit a completed Agreement and Conflict of Interest Form (Appendices C and D). The completed Conflict of Interest Form shall be provided to all members of the authorizing body prior to their deliberations and decision.

Team leaders shall be members of the Society.

The team leader may be removed by action of the authorizing organizational entity's governing body, the ASCE ExCOM or the ASCE Board of Direction.

5.0 SELECTION OF ASSESSMENT TEAM MEMBERS

The Team leader shall assemble a list of candidates for membership on the assessment team. The team leader may poll the organizational entity, ASCE staff, other ASCE members, and nonmembers to determine interest, availability, and detailed funding requirements for potential team members who can offer specialized knowledge to the team. Organizational entities that regularly undertake post-disaster assessments are encouraged to establish a pool of prequalified team members for a particular type of assessment. The team leader shall strive to assemble a team of sufficient size and character to conduct the anticipated assessment. Final selection and appointment of the assessment team members shall be made by the governing body of the ASCE entity that appointed the team leader.

It is recognized that the size and composition of the team may vary over the duration of the assessment.

All nominees for a position on the team shall submit a completed Agreement and Conflict of Interest Form (Appendices C and D). It is preferable that the completed Conflict of Interest Form be provided to all members of the authorizing body prior to their deliberations and decision, but in no case shall the form be provided to all members of the authorizing body later than seven days after the appointment is made.

Team members must acknowledge that they participate at their own risk. They shall be required to sign a liability release statement indicating that ASCE assumes no responsibility for possible injury, death, property damage, or other losses related to their participation on the assessment team.

Team members should be members of the Society, except for assessments that require special expertise that is not readily available within the Society's membership.

Any assessment team member may be removed by action of the authorizing organizational entity's governing body in consultation with the team leader, the ASCE ExCOM, or the ASCE Board of Direction.

In assembling the team, the team leader shall take the following factors into consideration:

- Overall team size
- Geographic proximity of team member candidates to the event
- Funding available for the assessment
- Technical needs of the assessment effort
- Representation from interested and affected organizations
- Local representation: the team leader is strongly encouraged to have representation from the local engineering community on the assessment team.
- Such individual characteristics as:
 - Technical knowledge
 - Experience in conducting assessments
 - Experience on teams/committees
 - General team aptitude
 - Experience with the media
 - Public and extemporaneous speaking skills
 - Translation needs if event is in a non-English-speaking country
 - Time availability
 - Proximity to the event
 - Local contacts for access
 - Personal funding requirements
 - Performance in meeting volunteer commitments and deadlines
 - Licensure
 - Physical restrictions
 - International travel requirements—that is, the ability to obtain a visa
 - Security clearances required
 - Conflicts of interest--real and perceived--and the disclosure thereof internal and external to the Society

Prior to deployment of the team, ASCE staff shall communicate with the applicable Section president, Branch president, and Region director regarding the initiation of an assessment within the geographic boundaries of a particular Section, Branch, or Region. The Region director shall be responsible for appropriate communications with associated Region governors. Subject to approval of the authorizing governing body, the Section and Branch presidents may be afforded the opportunity to participate as corresponding members of the assessment team or appoint a designee to serve as such. Corresponding members do not have the right to vote or receive Society reimbursement for

expenses, but may attend the assessment team's open meetings and receive correspondence, agendas, and minutes.

6.0 COORDINATION WITH OTHER ORGANIZATIONS

Post-disaster assessment efforts may be conducted jointly with other organizations. The terms and conditions of a joint effort shall be approved by the governing body of the authorizing ASCE organizational entity and shall be consistent with the guidance of this manual if the effort is led by ASCE. The culture and operating procedures of the partnering organization(s) must be recognized, and the roles and responsibilities of each organization clearly stated in a written agreement between the partnering organizations. Past experience has shown that carefully defining the roles and responsibilities greatly improves cooperation and the operational success of the assessment.

In instances when ASCE is not the lead entity in a joint effort, if the roles, responsibilities, and operating procedures differ significantly from those contained in this manual, then the ASCE Executive Committee must approve the participation.

Any joint assessment occurring within the geographic boundaries of an ASCE Section shall be reported to that Section's president prior to deployment of the team.

It is recognized that post-disaster assessment efforts conducted by ASCE may be of interest to related organizations with which ASCE has an existing relationship. In those instances, the team leader and lead ASCE staff support may establish an advisory group consisting of representatives from appropriate interested organizations. Organizational membership on the advisory entity shall be approved by the ASCE organizational entity authorizing the assessment.

The team leader, a designated team member, or lead ASCE staff support may be assigned to provide detailed briefings to the advisory group and to engage the group in open discussions on any or all aspects of the assessment effort. All individuals participating in the discussions must provide a signed nondisclosure and confidentiality agreement prior to participating.

Organizations participating in the advisory group shall be acknowledged in the report of the assessment team.

7.0 SCHEDULE

The team leader and lead ASCE staff support shall develop and maintain an anticipated schedule of the assessment effort and regularly advise the authorizing governing body of the progress of the effort and potential delays.

Although each assessment effort is unique, the following generic schedule is offered as a starting point for consideration by the team leader and support staff, with the recognition that these steps are rarely as linear as presented below:

1. Event occurs
2. Decision is made to conduct an assessment
3. Access to site is verified
4. Funding source is determined and initial level established
5. Team leader is appointed
6. Assessment team members are appointed
7. Initial conference call of team is conducted
 - a. Discussion of roles and assignments
 - b. Discussion of scope of assessment
 - c. Briefing on anticipated field conditions
 - d. External communications protocols reviewed
8. Team is deployed to site
 - a. Individuals are responsible for securing appropriate safety equipment, such as steel-toed shoes, goggles, ear protection, etc. Some specialized safety equipment may be provided at the site.
 - b. A safety briefing must be provided prior to accessing the site
 - c. Field office established if needed
 - d. Internal communications verified
 - e. On-site schedule, assignments and responsibilities verified
9. Team gathers perishable data on-site (photographic, video, physical, etc.)
10. Closure of field visit review and discussion
 - a. Generally anticipate that there will only be a single field visit for an assessment
 - b. Discussion of theories
 - c. Draft outline of report created
 - d. Principal writing assignments made
 - e. Establish schedule of report development: in-person meetings required, conference calls required, estimated dates, etc.
 - f. Obtain agreement/commitment in writing from all team members to adhere to the schedule developed for writing the report.
11. Report development, review and publication

8.0 STAFF SUPPORT

The ASCE executive director or designee shall appoint at least one member of ASCE staff to provide support to the assessment team. If more than one staff member is assigned to an assessment team, one staff member shall be designated lead ASCE staff support.

ASCE staff can be integral to the assessment effort and can be an important part of the assessment team. Input from professional Society staff can be considered by the team; however, unless specifically authorized by the authorizing organizational entity (or in the case of externally funded assessments, by the oversight panel appointed by the ExCOM) and the ASCE executive director or designee, ASCE staff are not permitted to be voting members of an assessment team. Staff is generally available to provide support and advice to the team and, unless otherwise authorized, is expected to guard against influencing conclusions and recommendations.

8.1 Engineering Programs

Assessment teams sponsored by an ASCE institute or a division or technical council of the Technical Activities Committee (TAC) can expect initial guidance on forming a team from the staff assigned to these activities. Depending on the scope and complexity of the incident being assessed, staff may be available to assist with securing funding approval, budget preparation, travel arrangements, letters of introduction, and providing local contacts.

Institute or TAC staff are responsible for approving the expenditure of authorized funds and are also the point of contact with other ASCE staff that may be assisting with the assessment.

8.2 Legal

The Society's legal counsel is responsible for providing the appropriate agreement and disclosure documents to assessment team members and for distributing ASCE's policies related to assessment teams. The lead ASCE staff support shall assist in coordinating and collecting signatures on all necessary documents. Signed documents from each team member must be received at ASCE headquarters prior to deployment with the team.

8.3 Communications

Team interaction with the media is governed by the Assessment Team Media Policy (Appendix B). The ASCE communications department is responsible for coordinating all contact between the team and the media. Team members are required to acknowledge and adhere to the media policy.

8.4 Publications

The production staff of the ASCE publications department is available for providing guidance on the publication of the team's final report.

9.0 PUBLIC COMMUNICATION

ASCE's communications department shall be responsible for coordinating media contacts and disseminating information to the public as needed on all post-disaster assessments undertaken by ASCE. ASCE staff shall work with the team leader to ensure that the public receives timely and factual information and assistance as needed without hindering the work of the team. The team leader is responsible for maintaining the integrity of the assessment and for releasing any preliminary findings and information to the public and media.

9.1 Public Information

9.1.1 Web Site

Staff normally shall maintain a publicly accessible Web page for each assessment team. The contents of the page may include, but shall not necessarily be limited to, team announcements, explanations of the team's scope of work, rosters, press releases, approved findings/reports (preliminary and final), and status reports/announcements.

9.1.2 Meetings/Public Comment

Whenever appropriate and feasible, provisions should be made for public comment both during the course of the team's assessment and engineering review and upon release of its draft final report. A variety of methods may be used to facilitate broader public input, including online message boards, list serves, or e-mail. Registration, advance notice, and limits on length and scope may be established. Public comment is intended to further inform the work of the team, and individual responses to public comment shall not be provided. Reasonable accommodations should be made to allow for public and media access to portions of team meetings that are open to the public.

9.2 Media Policy

9.2.1 Access

To facilitate a timely and appropriate response, media and public inquires must be coordinated through the ASCE communications department. Media interaction shall be governed by the established Assessment Team Media Policy (Appendix

B). Until the assessment team’s final report is publicly released, members of the assessment team shall not participate in briefings, blog postings, conferences, public or professional presentations, or other public communications related to the assessment team’s work without the approval of the team leader and communications department.

9.2.2 Briefings

Periodic media briefings may be scheduled to report on the progress of the assessment team’s engineering review. The schedule for these briefings shall be developed by the ASCE communications department in conjunction with the team leader, and may include, but not be limited to, key milestones such as: the announcement of the formation of an assessment team and its scope of work; the appointment of the team leader and team members; the conclusion of field visits, testing, and other major studies; and the release of the team’s primary findings.

9.2.3 Authorized Spokespersons

The team leader serves as the designated spokesperson for the team and is responsible for ensuring that any public information or public communications related to the team’s work or findings represent the consensus of the team as a whole. The team leader may designate an alternate team member to serve in his/her place as the spokesperson, in which case the alternate shall be held to the same standard regarding team consensus..

9.2.4 Assessment Team Media Policy

ASCE’s Assessment Team Media Policy (Appendix B)¹ governs all interaction between assessment team members and the media during the course of an active post-disaster assessment. Upon public release of the team’s draft final report, all parties are released from the terms of this policy.

¹ *Model Federal Agency Media Policy*, Union of Concerned Scientists, Tarek Maassarani, author, formerly lead investigator for the Government Accountability Project. The language draws from media policies adopted by the National Aeronautics and Space Administration and the National Oceanic and Atmospheric Administration.
http://www.ucsusa.org/assets/documents/scientific_integrity/Model-Media-Policy-1.pdf

10.0 ASSESSMENT TEAM RESPONSIBILITIES AND CONFLICTS OF INTEREST

Assessment team members have an ethical and legal obligation to produce a work product that is objective, thorough, independent, and technically sound. Conflicts of interest occur when an individual team member's ability to fulfill this obligation to the team is threatened by the individual's personal loyalties or financial ties. To ensure that ASCE's assessment teams are fairly balanced, independent, and free of conflicts of interest, ASCE shall evaluate each assessment team candidate's bias, objectivity, and conflicts of interest, recognizing that the existence of a possible bias may not necessarily disqualify a candidate from participation but shall be taken into account relative to the composition of the assessment team and in conjunction with other applicable factors.

Each member of the assessment team must agree to be bound by the provisions of ASCE's Code of Ethics and to comply with ASCE's standards of ethical conduct in connection with the assessment team's activities. Consistent with this obligation, each member of the assessment team must sign an Acknowledgment of Ethics and Professional Responsibilities, Terms, and Conditions and Waiver and Release (Appendix C).

Each member of the assessment team must also complete and update annually, or more frequently as appropriate, ASCE's Conflict of Interest Policy, Acknowledgement and Disclosure Form (Appendix D). By doing so, each assessment team member must also acknowledge his/her review of ASCE's Conflict of Interest Policy and Guidelines for Compliance with ASCE's Conflicts of Interest Policy (Appendix E). Disclosure of relevant information, including new or changed information, is a continuing obligation of assessment team members throughout the duration of the assessment team's work. Each assessment team member shall also be expected to participate in an orientation followed by annual briefings on ASCE's Conflicts of Interest Policy.

11.0 TEAM FINDINGS

The results of the assessment effort shall be presented in a written report prepared by the members of the team and representing the consensus views of the team. Teams are, however, cautioned not to allow a desire for unanimity to weaken the contents of their report, as the profession may be better served by the presentation of areas of disagreement along with the supporting rationale for each.

In view of the consideration that "consensus" does not necessarily mean "unanimity," the team leader is encouraged to employ specific voting processes to assist the team in reaching a consensus. At his/her discretion, the team

leader may wish to employ the procedures for reaching consensus as contained in the ASCE Rules for Standards Committees.

It is acceptable for the team's report to express differing views or theories. It is recommended that it should be the consensus of the team members that including minority views are warranted. Limitations may be placed on the length of any individual minority view contained within the report, the precise nature of the limitation being determined by the team leader.

12.0 PUBLICATION OF ASSESSMENT REPORT

Unless other arrangements are made, the final report of an assessment team's findings shall be published by ASCE and may be made available in whole or part on the ASCE Website or other electronic venues. ASCE staff shall also forward the final report to the applicable Section president, Branch president, and Region director.

Final assessment team reports are published as an ASCE committee report in accordance with the latest edition of "ASCE Publications & Publications Policies."

Staff shall submit final reports in a digital format acceptable to ASCE's publications staff. Final reports must include the secured permissions of any non-ASCE copyrighted material, including photographs, sketches, tables, and similar work that are to be published in the report. It is recommended that the team's written report comply with the latest edition of the *Chicago Manual of Style*.

Special arrangements can be made to post preliminary team findings on the ASCE Web site, with permission of the ASCE publisher.

Prior to publication, the ASCE organizational entity authorizing the assessment team must approve the final report for publication. The organizational entity must conduct a peer review of the final report. During the peer review process, all comments should receive a formal response. The organizational entity should be assured that all comments during the peer review were appropriately addressed by the assessment team.

It is understood that an assessment team's final report is the intellectual property of the American Society of Civil Engineers. It is also understood that ASCE's ownership shall also extend to any photographs, sketches, or similar depictions obtained during the team's assessment process.

A grant or contract on an externally funded or jointly sponsored assessment team may require that publication of the team's findings be done by a third party or that the content be kept in the public domain. Such provisions shall not, however, preclude the need for review and approval of the final report by ASCE.

The use of the ASCE mark or the marks of its institutes, affiliates, or organizational entities implies that the work has been approved for publication by the Society following the prescribed peer review and approval process.

**APPENDIX A
ASCE POST-DISASTER ASSESSMENT TEAM REQUEST FORM**

1. ASCE Organizational Entity

Date

ASCE Organizational Entity (Technical Council/Committee/Institute)

2. Project Information

Date of Disaster

Location of Area Impacted
(City, State, Country)

Site Safety & Accessibility Considerations

Description of project's consistency with ASCE vision, mission, and goals (specifically the advancement of the science of engineering & engineering education)

Expected work product(s) resulting from the assessment

Scope of the assessment, including overview of facilities impacted

Summary of methodology and technical expertise required

Related assessment efforts (internal or external to ASCE)

Total Estimated Budget (attach detailed spreadsheet as needed)

Proposed Schedule/Timeline

3. Proposed Team Leader

Name

ASCE Membership No.

Address

City

State

 Zip

Work Phone

Home Phone

Cell Phone

Prior Related Experience (years of training and summary of qualifications)

4. Proposed Team Members

Name

ASCE Membership No.

Address

City

State

 Zip

Work Phone

Home Phone

Cell Phone

List Any Alternate
Funding Sources

4. Proposed Team Members (continued)

Name

ASCE Membership No.

Address

City

State Zip

Work Phone

Home Phone

Cell Phone

List Any Alternate Funding Sources

Name

ASCE Membership No.

Address

City

State Zip

Work Phone

Home Phone

Cell Phone

List Any Alternate Funding Sources

For ASCE use only

Request Approved Request Denied

Reviewed by:

- Executive Director for ASCE funding up to allowable limit
- ASCE EXCOM or BOD for ASCE funding beyond
- ASCE EXCOM for external funding

Signature

Date

APPENDIX B

Model ASCE Assessment Team Media Policy

Section 1: Purpose

.01 This policy governs assessment team media communications including advisories, press releases, statements, interviews, news conferences, and other related media contacts. The ASCE communications department has been established to facilitate the active dissemination of team findings and to coordinate media and public relations activities. A principal goal of communications is to help assessment teams most efficiently achieve their mission through the advancement of sound and objective science.

Section 2: Rights

.01 During the course of an active study, public communications must represent the views of the team rather than its individual members. Upon public release of the team's final report, team members have the fundamental right to express their personal views, provided they specify that they are not speaking on behalf of, or as a representative of, the team. As long as this disclaimer is made, the team member is permitted to mention his or her affiliation and position with the team if this has helped inform his or her views on the matter.

.02 Team members have the right to review, approve, and comment publicly on the final version of any proposed publication that significantly relies on their research, identifies them as an author or contributor, or purports to represent their scientific opinion.

.03 Final authority over the content of and parties to any particular media communication resides with the reporter and the designated spokesperson with whom he or she communicates.

Section 3: Responsibilities

.01 The ASCE communications department is responsible for:

1. Promoting media attention on important scientific and institutional developments relating to the assessment team's work.
2. Coordinating and facilitating contact between journalists and the requested team member(s).
3. Providing both reporters and team members with timely, accurate, and professional media assistance.
4. Providing draft press releases or other public statements to team members whose work is included, to assure the accuracy of scientific information being communicated. Press releases containing potentially sensitive or controversial content must be pre-approved by ASCE's President and Executive Director.
5. Coordinating with appropriate personnel of the sponsoring or related organizations.
6. Maintaining a publicly accessible assessment team Web site.

.02 Team members are responsible for working with the ASCE communications department to make significant findings accessible and comprehensible to the public.

.03 Team members are responsible for the accuracy and integrity of their communications and should not represent the team on issues related to their work without prior approval from the ASCE communications department.

Section 4: Media and Public Interactions

.01 To help the ASCE communications department best fulfill its responsibilities, team members shall:

1. Keep the communications department informed of any media contact, interest, or potential for interest in their work.
2. Notify the communications department immediately of impending contact from the media and provide the department with a recap of the non-confidential aspects of the media conversation afterward.
3. Review drafts of press releases written by the communications department both for the accuracy of scientific information being communicated and for format and nonscientific content, and do so in a timely fashion.
4. Work with the communications department to review presentations or news conferences for their format and content to assure the accuracy of scientific information being communicated.

.02 The ASCE Communications Department shall:

1. Respond to all initial media inquiries as soon as possible.
2. Do all that they can to help reporters get the appropriate information needed for an article.
3. Know the reporter's deadline to ensure timely response.
4. Provide contact information as to where a staff contact will be available, even after hours, on weekends and on holidays.
5. Draft regional and national press releases about the assessment team's work whenever warranted.
6. Ensure a timely turnaround on press releases.
7. Develop (or coordinate the development of) talking points in collaboration with the team leader for the release of findings and other team products.

Section 5: Media Coverage

.01 In the spirit of openness, media representatives must be granted free access to open meetings convened by the team, as well as permission to reasonably use tape recorders, cameras, and electronic equipment for broadcast purposes.

.02 The ASCE communications department staff member coordinating a meeting may be present, or consulted, to undertake all responsibilities of a news media nature, including but not restricted to necessary physical arrangements.

.03 It shall be the responsibility of the ASCE communications department to cooperate fully with and accede to all reasonable requests from news media representatives.

Section 6: Internal Reporting

.01 Assessment teams shall offer an internal disclosure system to allow for the confidential reporting and meaningful resolution of inappropriate alterations, conduct, or conflicts of interest that arise with regard to media communications. The system shall also allow for the team member's written assessment of whether the matter was resolved to his or her satisfaction.

**APPENDIX C:
ACKNOWLEDGMENT OF ETHICS AND PROFESSIONAL RESPONSIBILITIES, TERMS
AND CONDITIONS, AND WAIVER AND RELEASE**

By my signature below, I affirm that I have read and understood the “ASCE Post-Disaster Assessment Manual” and, in consideration for my participation as a member of the _____ (hereafter, “assessment team”), hereby agree as follows:

- I am familiar with the ASCE Code of Ethics, and I agree to be bound by its provisions. I shall adhere to ASCE’s standards of ethical conduct in performance of my responsibilities as a member of the assessment team.
- I acknowledge that I shall have access to confidential and proprietary information in connection with my participation on the assessment team, and I agree to maintain strict confidentiality of all such information. I agree not to disclose any confidential or proprietary information I may receive in connection with assessment team activities, except as required by law or with prior written permission from ASCE.
- I agree that all works prepared by me or the assessment team during the course of its activities are irrevocably assigned to ASCE, and shall remain the exclusive property of ASCE. Further, I grant and convey unto ASCE all rights, title, and interest in any and all photographic images and video or audio recordings made by me or the assessment team during the assessment, including, but not limited to, any royalties, proceeds, or other benefits derived from such photographs or recordings.
- I understand that my work on the assessment team may involve hazardous activities, including, but not limited to, risks involved in traveling to, from, and within locations; differing political, legal, medical, social and economic conditions; different standards of design, safety, and maintenance of buildings, public places, and conveyances; and unsafe weather, environmental, or other conditions. I expressly and specifically assume all risk of injury, loss, or harm in my participation on the assessment team.
- I agree to observe appropriate safety precautions in all activities I undertake in connection with my performance as an assessment team member, including, but not limited to, the safety protocols set forth in the “ASCE Post-Disaster Assessment Manual.”
- I understand that ASCE does not carry or maintain health, medical, or disability insurance coverage for me, and I agree that ASCE assumes no responsibility for health care expenses incurred prior to, during, or after my participation on the assessment team.
- I release, waive, and covenant not to sue ASCE, and its affiliates, institutes, sections, branches, officers, directors, employees, members, and agents from any and all debts, demands, or liabilities for injury or damage arising directly or indirectly from my participation on the assessment team.
- I agree to comply strictly with the terms of the “ASCE Post-Disaster Assessment

Manual,” including ASCE’s Assessment Team Media Policy.

- Until the assessment team’s final report is publicly released, I shall not participate in briefings, blog postings, conferences, public or professional presentations, or other public communications related to the assessment team’s work without the approval of the team leader and the communications department.
- I understand that I shall be reimbursed for my travel expenses incurred during my participation on the assessment team in accordance with ASCE’s standard travel reimbursement policy, as set forth in Article 8 of ASCE’s Rules of Policy & Procedure.

I HAVE CAREFULLY READ THIS AGREEMENT AND FULLY UNDERSTAND ITS CONTENTS. I AM AWARE THAT THIS IS A RELEASE OF LIABILITY, A PROMISE NOT TO SUE, AND A CONTRACT BETWEEN ME AND ASCE.

Signature

Date

Printed Name

**APPENDIX D
CONFLICT OF INTEREST DISCLOSURE FORM**

Name: _____ Telephone No.: _____

Address: _____ E-mail: _____

City/State/Zip: _____ ASCE Member? No / Yes [Member Grade: _____]

INSTRUCTIONS:

As a member of an ASCE task force, panel, or other committee, you are required to comply with ASCE's policy on conflicts of interest. ASCE's policy on conflicts of interest is set forth as follows:

A Conflict of Interest shall be defined as any activity, transaction, relationship, service, or consideration which is, or appears to be, contrary to the best interests of the Society, or in which the interests of an individual or another organization has the potential to be placed above those of the Society. Any interested individual must disclose the existence of any actual or possible Conflict of Interest and all material facts to the Society entity considering the proposed transaction. Action to address the conflict shall be taken by either the interested individual or the Society entity. (ASCE Bylaws §10.1)

Please complete both sides of this form and return a signed original to ASCE by mail, fax, or e-mail to the address listed on the opposite side of this form. When completing the form, please identify information that relates to the subject matter and issues to be addressed by the assessment team. If you need additional space, please continue on a separate sheet of paper. Where appropriate, please attach your curriculum vitae and make appropriate references in your response.

DEFINITIONS:

- Assessment Team = the task force, panel, or other committee on which you have been invited to serve.
- Related Party = you, your immediate family, your employer, or any other person with which you share a significant financial interest.
- Relevant = related to the subject matter and issues to be addressed by the assessment team

PART I. BACKGROUND INFORMATION AND DISCLOSURES

Employment Relationships: Please list your current employer and any employer that pays you or a Related Party in excess of \$10,000 annually

Ownership/Investment Interests: Please list any Relevant business, property, or other entity in which you or a Related Party holds an ownership or security interest valued at \$25,000 or higher

Organizational Affiliates and Committees: Please list any Relevant memberships in professional and trade associations, public interest or civic groups, etc., currently held by you or a Related Party, and all current and Relevant offices, directorships, or committee memberships in any such organization. Include also any current and Relevant ASCE offices, directorships, or committee memberships.

Government Service: Please list any past or present Relevant service to federal, state, or local government by you or a Related Party. Include Relevant elected and appointed positions, employment, advisory positions, contractual agreements, etc.

Research Support: Please list any public or private sources of funding for any Relevant research projects undertaken by you or a Related Party (excluding funding by a present employer) within the past ten (10) years. Include also support in the form of equipment, facilities, funding sources, etc.

Publications, Speeches, or Public Positions: Please list any Relevant articles, testimony, speeches, or other public statements made by you or a Related Party. Include any Relevant positions of groups or organizations with which you are closely associated.

Additional Information: Please list any other Relevant facts or circumstances that might reasonably be construed to be a source of bias or to affect your judgment on issues to be undertaken by the assessment team.

PART II. STATEMENT OF COMPLIANCE

I have reviewed the Guidelines for Compliance with ASCE's Conflicts of Interest Policy and, to the best of my knowledge and belief, except as disclosed on this form, neither I nor any Related Party is engaged in any transaction or activity or has any relationship that may represent a potential Conflict of Interest or be contrary to the best interests of the Society. I agree immediately to disclose to the Society any potential Conflict of Interest that should arise hereafter.

Signature

Date

Printed Name

Please send a signed, completed original to: **ASCE, [Staff Liaison], 1801 Alexander Bell Drive, Reston, VA 20191. Fax: 703-295-xxxx. E-mail: xxxxx@asce.org**. Please retain a copy for your records.

**APPENDIX E:
GUIDELINES FOR COMPLIANCE WITH ASCE’S CONFLICT OF INTEREST
POLICY:
POST-DISASTER ASSESSMENT TEAM**

The purpose of ASCE’s conflict of interest policy as applied to post-disaster assessment teams (assessment teams) is to protect the Society’s interests in producing objective, technically sound, and reliable reports on subject matters of importance to the civil engineering community and the public at large. ASCE’s policy on Conflicts of Interest is set forth in its Bylaws as follows:

A Conflict of Interest shall be defined as any activity, transaction, relationship, service, or consideration which is, or appears to be, contrary to the best interests of the Society, or in which the interests of an individual or another organization has the potential to be placed above those of the Society. Any interested individual must disclose the existence of any actual or possible Conflict of Interest and all material facts to the Society entity considering the proposed transaction. Action to address the conflict shall be taken by either the interested individual or the Society entity. (ASCE Bylaws §10.1)

These guidelines are intended to supplement the provisions of ASCE’s Conflict of Interest Policy and to ensure that post-disaster engineering reviews continue to be conducted ethically and professionally, both to advance the engineering profession and to protect the public health, safety and welfare.

Assessment teams are established and supported by ASCE to investigate and report on engineering matters of importance to the profession and the public at large. ASCE’s assessment teams must be fairly balanced, independent and free from conflicts of interest. To meet this objective, ASCE shall evaluate an individual’s bias, objectivity, and conflicts of interest, recognizing that the existence of a possible bias shall be taken into account relative to the composition of the assessment team but may not necessarily disqualify an individual. As a member of an assessment team, team members have an ethical obligation to produce work product and reports that are objective, thorough, and technically sound. Conflicts of interest occur when an individual’s ability to fulfill that ethical obligation is threatened by the individual’s personal loyalties or financial ties.

I. Definition

ASCE’s conflict of interest policy encompasses three types of conflicts of interest: actual, potential, and perceived. While “actual” conflicts—situations where the person’s private interests are directly opposed to those of the assessment team—are the most easily recognized, individuals must also consider circumstances in which the Team’s activities might possibly affect the individual’s

personal interests, or even where they might simply be perceived to have an influence on personal interest. The true test of a conflict of interest is not whether the individual believes he/she can serve in an objective and impartial manner as a member of the assessment team, but whether an observer, in reviewing the actions of the team member, might reasonably believe that the individual's actions could be influenced by motives other than the desire to produce a technically sound and unbiased report for the benefit of the civil engineering profession and the public at large.

The possibility of a conflict of interest need not exclude a person from taking part in an assessment team. Some conflicts may be so substantial as to exclude a person from participating on an assessment team, such as where an individual had personal involvement in an engineering project which the team is being asked to review. But in other cases--particularly in areas with a broad impact on the community or with a limited pool of experts where it may be difficult, if not impossible, to locate someone with no potential connection to a subject--it may simply be necessary to ensure that the assessment team members are selected in such a way as to represent a balanced spectrum of competing interests.

The following list gives some examples of the types of conflict of interest a member of an ASCE assessment team is required to disclose under the provisions of ASCE's Conflict of Interest Policy. This list should by no means be interpreted to include all possible conflicts of interest that a team member is required to disclose, and anyone with concerns over whether a situation requires disclosure under this policy is invited to contact ASCE's general counsel, or to act in favor of full disclosure in accordance with Section III of this document.

II. Types of Conflict of Interests Requiring Disclosure

1. Financial Interests. Financial interests that must be disclosed pursuant to ASCE's conflict of interest policy include, but are not limited to, the following:
 - a. Employment by or a leadership position with any party whose business interests could be harmed or helped by an action or position of the assessment team.
 - b. Ownership or investment interest, contractual or consulting relationship, or any other financial interest in any party whose business could be harmed or helped by an action or position of the assessment team.
 - c. Any other financial interest that may be affected by an action or position of the assessment team.

2. Personal Relationships. ASCE's conflict of interest policy requires disclosure of any personal relationship with an individual who may have a potentially competing interest. Personal relationships include (but are not limited to) immediate family members—spouse, parents, siblings, children—and potentially competing interests include (but are not limited to) the following:
 - a. Individuals who are or have been involved in any aspect of planning, funding, or implementing the project, process, or issue that is the subject of the assessment.
 - b. Individuals having an employment, ownership, or other financial relationship with any party that may be harmed or helped by an action or position of the assessment team.
 - c. Individuals employed by or representing any federal, state, or local agency whose activities or operations may be helped or harmed by an action or position of the assessment team.
 - d. Individuals who have any other financial or personal interest that may be affected by an action or position of the assessment team.

Examples

Example 1: ASCE has been authorized to receive funding to perform an assessment of the impacts of an earthquake on a city's critical infrastructure. An individual employed by the funding agency would like to participate on the assessment team. The individual would be required to disclose the conflict of interest and would be excluded from service on the assessment team. An individual employed by the funding agency may not serve on the assessment team charged with preparing an independent, objective assessment; however it may be appropriate for such person to provide information and to participate in discussions with the assessment team upon invitation during open meetings, without serving as a member of the assessment team and without having a vote.

Example 2: ASCE has commissioned a task force to perform a forensic analysis of structures that unexpectedly failed following a minor earthquake. An individual asked to participate in this analysis has a sister employed by the firm that designed many of these structures. The individual would be required to disclose this conflict of interest and would be excluded from service on this assessment team. However, this individual may be able to provide information to the assessment team and to participate in discussions with the assessment team upon invitation during open meetings, without serving as a member of the assessment team and without having a vote.

Example 3: In Example 2 above, an individual who asked to participate in the analysis works for a direct competitor in the same city and technical discipline as the firm that designed many of the structures. The individual would be required to disclose this conflict of interest and may be included or excluded from service on the assessment team depending upon the circumstances. Factors to be considered include the individual's unique expertise, committee composition and balance, and whether such circumstances are unavoidable.

Example 4: ASCE has been asked to establish an assessment team to perform an assessment of a state agency's report on the cause of a major bridge collapse. An ASCE member asked to serve on the assessment team has a consulting business that performs regular work for a firm involved in the construction of the bridge. The individual would be required to disclose this conflict of interest and would be excluded from service on the assessment team. Again however, this individual may be able to provide information to the assessment team and to participate in discussions with the assessment team upon invitation during open meetings, without serving as a member of the assessment team and without having a vote.

III. Procedures for Addressing a Conflict of Interest

1. Disclosure. Any person who believes he/she has a possible conflict of interest must disclose this conflict, and any material facts related to that conflict of interest, to the Society as required in ASCE's "Post-Disaster Assessment Manual." ASCE's conflict policy and procedures include two disclosure requirements:
 - a. Completion of a conflict of interest disclosure form upon acceptance of a position on an assessment team.
 - b. Duty to supplement this initial disclosure in the event of any change of circumstances following acceptance of a position on an assessment team that gives rise to a possible conflict of interest.
2. Determining if a Conflict of Interest Exists. Team member disclosure forms shall be reviewed by ASCE staff, the team leader, and the authorizing organizational entity's governing body, and if necessary, also may be reviewed by the ASCE ExCOM and the ASCE Board of Direction. The team leader's disclosure form shall be reviewed by ASCE staff and the authorizing organizational entity's governing body, and if necessary, also may be reviewed by the ASCE ExCOM and ASCE Board of Direction. Any party who believes he/she has a possible conflict of interest may elect to disclose the conflict and terminate his/her involvement in the assessment team without the need for a formal decision from the Society.

Alternatively, upon receipt of a conflict of interest disclosure, ASCE shall review the disclosure notice and make a final determination as to whether the circumstances represent a possible conflict of interest.

3. Addressing a Conflict of Interest. If ASCE finds that a possible conflict of interest exists, it must determine the extent to which the disclosing party may participate in the discussion and/or decision process. Factors to be considered in this decision include the severity of the possible conflict, the openness of the deliberation process and the availability of records supporting the decision, the degree to which the assessment team reflects a balance of competing interests, and the likelihood that the decision will be perceived as reflecting improper influence. Options include:
 - a. The disclosing party must terminate his/her involvement in the assessment team.
 - b. The disclosing party may take part in discussing the subject giving rise to the conflict of interest (provided that the party must preface any such participation with an acknowledgement of the conflict of interest), but may not take part in any final decisions made with respect to this matter.
 - c. The disclosing party may take part in the discussion and decision, notwithstanding the existence of a conflict of interest. This option should only be considered in cases where the possible conflict is insubstantial or the assessment team has been constituted to reflect a balance of competing interests and the conflict is not so substantial as to significantly impair the individual's objectivity.
4. Confidentiality. Conflict of Interest Policy, Acknowledgement and Disclosure forms shall be maintained confidentially by ASCE, except as provided herein or as otherwise required by law.

IV. Questions

Please contact ASCE's general counsel with any questions or concerns you may have about ASCE's conflict of interest policy or this guidelines document:

Tom Smith
Asst. Executive Director & General Counsel
(703) 295-6061
tsmith@asce.org

Tara Hoke
Asst. General Counsel
(703) 295-6151
thoke@asce.org

GLOSSARY OF ABBREVIATIONS

Assessment team – ASCE post-disaster assessment team

ExCOM – ASCE Executive Committee

Manual – ASCE Post-Disaster Assessment Manual

Organizational entity - ASCE technical council, division, committee, institute, etc.

SCOPE – ASCE's staff Standing Committee on Project Evaluation

TAC – Technical Activities Committee

TCERP - Task Committee on Engineering Review Procedures