

POLICIES

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BOARD OF DIRECTORS

Policy Statement 100.1 Board Decisions by Conference Call, Facsimile, E-mail, Mail, or via the internet

When, between the regularly scheduled face-to-face meetings of the Board of Directors, the President or Steering Committee deems it necessary for the Board of Directors to meet in order to act, consent to action, or give its advice on an issue or issues which do not fall within the scope of the authority and responsibilities which would normally or automatically be handled by the NAESP headquarters staff or the elected Officers, then, the President may call a special meeting of the Board of Directors; and the Board may meet and vote or give its advice or consent on issues via a conference call meeting via telephone or internet; or the Board of Directors may act by unanimous written consent in lieu of a meeting.

Scope of Policy

Specifies the process by which Board decisions may be made between regularly scheduled meetings of the Board.

Guidelines for Implementation

1. The President of the Association may call a special meeting of the Board of Directors, which shall be held by conference call or by the use of any other means of communication by which all Directors participating may simultaneously hear each other during the meeting. A Director participating in the meeting by this means shall be considered to be present in person at the meeting. A record of each Director's vote shall be made.
2. The Board of Directors may act without a meeting if all of the Directors sign a consent in the form of a record describing the action to be taken by the Board of Directors and delivers the signed consent to the President or the Executive Director. The consent must be signed by every Director before it is valid and it is not valid until the last person to sign has delivered the signed consent to the President or the Executive Director. Electronic signatures are valid. The consent may specify the time at which the action taken in the consent is to be effective. The Executive Director shall notify the Board members promptly if all consents have been received; and shall notify the Board within a reasonable time if the Directors have not given unanimous consent.

Procedures

See Guidelines above.

Policy Statement 100.1 Board Decisions by Conference Call, Facsimile, E-mail, Mail, or via the internet (Cont.)

Authority Level

Action

President or Steering Committee

May call a special meeting of the Board, by conference call or other means by which all Directors participating may simultaneously hear each other during the meeting, to decide issues outside the scope of the issues normally handled by the elected officers or the headquarters staff.

May ask for unanimous written consent from the Board in lieu of a meeting.

Board of Directors

May meet by telephone conference call or other means by which all Directors participating may simultaneously hear each other during the meeting.

May act by signed written consent, if all Directors sign the consent.

Executive Director

Notify the Board promptly if there is unanimous written consent on an action received. Notify the Board within a reasonable time if unanimous written consent is not obtained.

BOARD OF DIRECTORS

Policy Statement 100.2 Expense Reimbursement of Zone Directors

Each National Zone Director is elected from a specific geographical area, but is to act from a national perspective when representing the membership. NAESP recognizes that, in carrying out the duties of their office, Zone Directors may incur expenses beyond those they normally incur while attending regular and special meetings of the Board of Directors and at the national conference.

NAESP will allocate a sum of money for reimbursement of the expenses of each Zone Director. A Zone Director, shall not exceed the amount budgeted for his/her expense reimbursement. Each Zone Director may, at his/her discretion, incur such expenses as are directly related to his/her Director's duties and submit a claim or voucher to NAESP for reimbursement of the expenses in accordance with the NAESP travel policy and subject to the conditions indicated under the guidelines.

Scope of Policy

Specifies the terms and conditions by which Zone Directors may spend funds from their respective budget line items.

Guidelines for Implementation

1. All Zone Directors shall be required to fill out and submit to the NAESP headquarters office the appropriate expense reimbursement request form before funds will be disbursed. Only expenses incurred while performing the duties of a Zone Director may be claimed for reimbursement.
2. All requests for reimbursement submitted to NAESP headquarters, for reimbursement of monies expended, shall include appropriate receipts.
3. Requests for expense reimbursement must be submitted to NAESP headquarters within thirty-one (31) days of the date the expense is incurred.
4. It is the responsibility of the Zone Director to set priorities on the use of the available monies to the best advantage of NAESP.
5. Funds may not be encumbered beyond the fiscal year without Board approval.
6. Travel funds may be requested in advance of approved travel in accordance with NAESP travel policies.

Procedures

See Guidelines above.

Policy Statement 100.2 Expense Reimbursement of Zone Directors (Cont.)

Authority Level

Action

Zone Director

- (a) Set priorities for using limited available NAESP monies to the best advantage of NAESP.
- (b) Request travel funds in advance of approved travel.
- (c) Within 31 days after incurring a reimbursable expense, fill out and submit to NAESP headquarters the appropriate expense reimbursement request form, including appropriate receipts, before funds will be disbursed.

NAESP Staff

Provides Zone Directors with standardized advance and expense claim forms and instructions.

Review advance and expense claims forms submitted by Zone Directors. If there is a dispute, Staff refers the matter to the Executive Director.

BOARD OF DIRECTORS

Policy Statement 100.3 Expense Reimbursement of the President, President-Elect and Vice President

It is in the best interest of NAESP that its President shall be available to perform the duties and responsibilities necessary to effectively lead, enhance and promote the goals of the Association. The Association will budget an amount for reimbursing the expenses which the President incurs in the course of performing the duties of the office. The President may use the money budgeted for his/her expenses and reimbursement of expenses incurred in the best interests of NAESP. The President will be reimbursed, from the amount budgeted, for the expenses in accordance with NAESP travel policy.

The duties and responsibilities performed by the President-Elect and Vice President are important and valuable for the Association fulfilling its mission and goals. The expenses which the President-elect and Vice President incur while performing duties of their elected offices beyond all regular and called meetings of the Board of Directors and the national conference, shall be reimbursed in the same manner as the Zone Directors. They shall be allocated a budgeted amount for expenses and reimbursement of expenses which they may use at their discretion in accordance with the NAESP travel policy and subject to the conditions indicated in the guidelines.

Scope of Policy

Specifies the terms and conditions under which the President, President-elect and Vice President may expend funds from their respective budget line items and request advance and expense reimbursement.

Guidelines for Implementation

1. The President, President-Elect and Vice President may request funds in advance and shall be required to fill out and submit to NAESP headquarters the appropriate expense reimbursement request form before funds will be disbursed. Only expenses incurred while performing the duties of their offices may be claimed for reimbursement.
2. All requests for reimbursement submitted to NAESP headquarters for reimbursement of monies expended shall include appropriate receipts.
3. The President, President-elect and Vice President are required to submit their requests to NAESP headquarters monthly or else within thirty-one (31) days after the date the expense is incurred.
4. It is the responsibility of the President, President-elect and Vice President to set priorities on the use of the available monies to the best advantage of NAESP.

Policy Statement 100.3 Expense Reimbursement of the President, President-Elect and Vice President (Cont.)

Procedures

See the Guidelines above.

Authority Level

Action

NAESP

Reimburse the President, President-elect and Vice President, and provide advance funds in accordance with NAESP travel and expense reimbursement policy, for carrying out the leadership functions of the Association, subject to the conditions indicated in this policy.

President, President-Elect
and Vice President

- (a) Set priorities on the use of the available monies to the best advantage of NAESP.
- (b) Monthly or within 31 days after incurring a reimbursable expense, fill out and submit to NAESP headquarters the appropriate expense reimbursement request form, including appropriate receipts, before funds will be disbursed.

NAESP Staff

Provide the President, President-elect and Vice President with standardized advance and expense claim forms and instructions.

Review expense claim forms submitted by the President, President-elect and Vice President. If there is a dispute, Staff refers the matter to the Executive Director.

BOARD OF DIRECTORS

Policy Statement 100.4 Financial Reimbursement to the School District to Enable the NAESP President to Remain in His/Her School Position

For the purpose of making the NAESP President available for Association business, NAESP shall reimburse the President's school district for appropriate administrative pay during his/her one-year term of office. The funds reimbursed may be up to an amount equal to the President's annual base salary, excluding all other benefits that shall be continued by the President's school district.

Scope of Policy

Authorizes the Association to reimburse the President's school district up to an amount equal to the President's annual base salary.

Guidelines for Implementation

1. The intent of this arrangement is to assure that the President can remain in his/her employment position, but also allow the President to take considerable time from work to perform the duties of President of the Association, including travel.
2. Details to implement this arrangement shall be agreed upon, in writing, at least three months prior to the President assuming the office. The individual who will be serving as NAESP President, the school district, and the Executive Director shall develop the agreement in accordance with the intent of this policy. The agreement will include proper documentation of the President's annual salary and how reimbursed funds will be utilized.
3. Since the purpose of this policy is to enable the President to retain his/her position in the school district while serving as NAESP President, no reimbursement shall be provided should the President resign, retire, or otherwise remove himself/herself from his/her school district position or the district removes the individual from his/her position.

Procedures

See the Guidelines above.

Policy Statement 100.4 Financial Reimbursement to the School District to Enable the NAESP President to Remain in His/Her School Position (Cont.)

<u>Authority Level</u>	<u>Action</u>
Executive Director	Executive Director initiates the agreement process in cooperation with the President-elect.
Executive Director, President-elect, School District	Shall reach agreement and confirm arrangements in writing.
Executive Director	Shall reimburse the President's school district in two equal payments or as agreed upon for an amount up to the contracted annual base salary for the President's term of office as stipulated above and shall confirm arrangements in writing.

CONFERENCEBOARD OF DIRECTORS

Policy Statement 100.5 Expenses for NAESP President's Spouse

NAESP will underwrite the round-trip, economy airfare expenses of the NAESP President's Spouse to attend the National Conference and the National Distinguished Principals Program for fulfilling specific responsibilities at both these events.

Scope of Policy

The role of the NAESP President's spouse is of vital importance during the course of the presidency. In this crucially supportive role, the spouse is expected to attend two major association events -- the National Conference and the National Distinguished Principals Program. The President's spouse has specific program responsibilities at both these events.

Guidelines for Implementation

The President's spouse shall be required to complete and submit to NAESP headquarters the appropriate forms requesting reimbursement of airfare in accordance with NAESP travel policies.

Procedures

See the Guidelines above.

Authority Level

Action

NAESP

Reimbursement of the President's spouse for travel to two events at which he/she will fulfill specific responsibilities, in accordance with NAESP travel reimbursement policy.

President's Spouse

Complete and submit to NAESP headquarters the appropriate expense reimbursement request form(s), including appropriate receipts, for funds to be disbursed. Submission of the reimbursement request within 31 days after an event is encouraged.

Executive Director

Shall authorize reimbursement of round-trip, coach airfare for the President's spouse to attend the two events specified above in accordance with NAESP travel policies.

BOARD OF DIRECTORS

Policy Statement 100.6 Guidelines for Complimentary Arrangements for Past Officers and Board Members

Based on the needs of the Association, NAESP Past Officers and Board Members may occasionally be invited to serve in an official leadership capacity during NAESP's annual conference.

Scope of Policy

NAESP Past Presidents and Board Members are not to receive complimentary housing, travel, and/or registration to NAESP's annual conference unless specifically invited by the NAESP Board of Directors to serve in an official leadership capacity.

Guidelines for Implementation

Complimentary arrangements related to NAESP's annual conference for NAESP Past Officers and Board Members are bound by the Scope of Policy as indicated above.

Procedures

See Scope of Policy and Guidelines for Implementation above.

Authority Level

Action

Past Officer or Board Member

Must be invited to serve in an official leadership capacity during NAESP's annual conference by the NAESP Board of Directors.

Executive Director

May recommend Past Officers or Board Members to fill official capacities during NAESP's annual conference based on identified Association needs.

NAESP Board of Directors

Must approve complimentary arrangements related to NAESP's annual conference for any Past Officer or Board Member invited to serve in an official leadership capacity.

BOARD OF DIRECTORS

Policy Statement 100.7 Complimentary Membership

NAESP shall present a complimentary membership to a designated supervisor from the school district of each member of the Board of Directors for the duration of the Director's term of office.

Complimentary membership under this policy statement is limited to regular publications of the Association and any other services approved by the Board of Directors.

Scope of Policy

Authorizes the Association to present complimentary memberships to designated officials.

Guidelines for Implementation

Self-explanatory.

Procedures

Self-explanatory.

Authority Level

NAESP (Executive Director)

Action

Present a complimentary membership to a designated supervisor from the school district of each member of the Board of Directors for the duration of the Director's term of office.

BOARD OF DIRECTORS

Policy Statement 100.8 Complimentary Membership for NASSP Board Members

NAESP shall provide a complimentary membership to each member of the NASSP Board of Directors during his/her term of office for as long a period of time as NASSP provides the same for members of the NAESP Board.

Complimentary membership under this policy statement is limited to regular publications of the Association and any other services approved by the Board of Directors.

Scope of Policy

Authorizes the Association to present complimentary memberships to NASSP Board of Director members during their term of office.

Guidelines for Implementation

Self-explanatory.

Procedures

Self-explanatory.

Authority Level

NAESP (Executive Director)

Action

Provide a complimentary membership to each member of the NASSP Board of Directors during his/her term of office for as long a period of time as NASSP provides the same for members of the NAESP Board.

BOARD OF DIRECTORS

Policy Statement 100.9 Executive Sessions

Executive Sessions of the Board of Directors may be called by a majority vote of the Board.

An executive session, in general parliamentary usage, has come to mean any meeting, or portion of a meeting, at which the proceedings are secret.

Scope of Policy

The Board of Directors would normally invoke this policy when privilege, secrecy or a high degree of privacy is necessary or advisable for such reasons, for example, as receiving information that is sensitive, information that might be libelous if disclosed outside of the Board's consideration, secretive business transactions or information, receiving advice from the Association's attorney(ies), personnel discussions and decisions, or discussions and comments where publication of the discussions or matters discussed would or might restrict an open, candid and appropriate discussion or could be detrimental to the issue being discussed.

Guidelines for Implementation

1. A motion to go into executive session is a question of privilege, and therefore is adopted by a majority vote.
2. The Board of Directors shall generally limit the frequency of use of executive sessions.
3. Only members of the Board of Directors, the Association's attorney, and individuals the Board invites to make presentations to it during the executive session will be allowed to remain in the meeting room.
4. A Board member is honor-bound not to divulge anything that occurred in the executive session. Anyone else permitted to be present is honor-bound not to divulge anything that occurred.
5. Resolutions discussed by the Board in executive session must be officially adopted in an open session of the Board after returning to an open session.
6. The Secretary of the Board will note in the meeting minutes that the Board of Directors entered into and exited an executive session. Neither the Secretary nor anyone else will take minutes during or tape record an executive session.

Procedures

See the Guidelines above.

Authority Level
Board of Directors

Action
As stated above.

BOARD OF DIRECTORS

Policy Statement 100.10 Observers at Meetings of the Board of Directors

Any NAESP member is welcome to attend meetings of the Board of Directors as either an individual or as the representative of a group of members.

Scope of Policy

Authorizes and regulates the attendance of member observers at Board of Director meetings.

Guidelines for Implementation

1. As a courtesy to the Board, observers should notify the Executive Director of their plans to attend a Board meeting so that a suitable meeting room is reserved. The Executive Director will attempt to secure space for observers, if requested.
2. NAESP will not pay any expenses for observers.
3. Observers may not be seated at the table with the Board of Directors.
4. Throughout the sessions, observers shall conduct themselves in a manner which will not disrupt or detract from the meeting of the Board.
5. Observers may request time on the agenda to address or question the Board. The request should be made to the President at the time the Board adopts its agenda. The Board need not grant the request and it is not a matter of right.
6. The President, in his/her discretion, may, and if requested by a majority of the Board shall, recognize observers to speak or to ask questions. Once recognized by the President, an observer may speak on any matter being considered by the Board if recognized by the President.
7. Observers will be excluded if the Board goes into executive session, unless the Board invites the observer to make a presentation during the executive session.

Procedures

See the Guidelines above.

Policy Statement 100.10 Observers at Meetings of the Board of Directors (Cont.)

<u>Authority Level</u>	<u>Action</u>
NAESP Observers	<ul style="list-style-type: none">(a) Notify the Executive Director of their plans to attend a Board meeting.(b) May request time on the agenda to address a question to the Board. (Request is made to the President at the time the Board adopts its agenda.)
President	<ul style="list-style-type: none">(a) Receives requests of observers to address or question the Board.(b) In his/her discretion may, or if requested by a majority of the Board shall recognize observers to speak or ask questions (previously requested).
Executive Director	Attempts to secure space for observers (if requested).

BOARD OF DIRECTORS

Policy Statement 100.11 Board Minutes

Minutes shall be kept of all Board meetings.

Scope of Policy

Requires minutes to be kept of all Board meetings.

Guidelines for Implementation

1. Minutes shall not be kept of executive sessions of the Board of Directors and executive sessions shall not be tape recorded. The Secretary of the Board shall note in the meeting minutes that the Board of Directors entered into and exited an executive session.
2. Minutes of meetings of the Board of Directors shall be mailed to the Board for approval no later than forty-five days after the regular Board of Directors meeting unless unusual circumstances are encountered.
3. Upon approval of the minutes by the Board of Directors, the President will provide access to the minutes to State Leaders, Past Board Members, and NAESP Staff.

Procedures

See guidelines above.

<u>Authority</u>	<u>Action</u>
Executive Director	Mail or transmit electronically the minutes of meetings of the Board of Directors to the Board for approval no later than forty-five days after the regular Board of Directors meeting unless unusual circumstances are encountered.
Board of Directors	Review and approve the minutes of each regular Board of Directors meeting.
President	Within sixty days of all regular Board of Directors meetings, provide access to the minutes to State Leaders, Past Board Members, and NAESP Staff.

BOARD OF DIRECTORS

Policy Statement 100.12 NAESP Steering Committee

The President, President-Elect, Vice President, and Executive Director, ex officio, non-voting, constitute the NAESP Steering Committee. It shall possess such powers and duties as are authorized by the Board of Directors.

Scope of Policy

Defines the composition and duties of the Steering Committee.

Guidelines for Implementation

The Steering Committee shall possess such powers and duties as authorized by the Board of Directors from time to time, such as serving as a finance and investment committee for the Association.

Procedures

See guidelines above.

Authority Level

Executive Officers and
Executive Director

Action

Serve as an Investment Committee for the Association
and perform other duties as authorized by the Board of
Directors.

BOARD OF DIRECTORS

Policy Statement 100.13 Review of Electoral Zone Composition

During the fifth year following the adoption of the proposed amendments to the Bylaws (2014) and every fifth year thereafter, the Board of Directors shall constitute a Committee of the Whole of the Board for review of electoral zones to ensure to the extent possible an equitable representation of principals within zones.

Scope of Policy

Requires the Board of Directors to review the composition of NAESP electoral zones.

Guidelines for Implementation

None established.

Procedures

None established.

Authority Level

Board of Directors

Action

Shall constitute a Committee of the Whole during 2019 and every fifth year thereafter to review electoral zone composition to ensure to the extent possible an equitable representation of principals within zones.

BOARD OF DIRECTORS

Policy Statement 100.14 Limiting Service on Governing Bodies of the Association

The service of any individual member (appointed or elected) shall be limited to one governing body (governance committees/Board of Directors/NAESP State Representative) at a time with the exception of NAESP officers who have specific responsibilities on governance committees as required by virtue of the position they hold and NAESP State Representatives who by virtue of their position may serve on the Nominating Committee.

Scope of Policy

In order to maximize the effectiveness of an individual appointed or elected to serve on an association governance committee, the Board of Directors, or as an NAESP State Representative and to expand the opportunities for other members to serve, the service of any individual shall be limited to one governing body or NAESP State Representative position at any given time. If an individual is serving on one governing body or as an NAESP State Representative is elected to another position, then the individual must choose between the two.

Procedures

Should an individual already serving on a governing body or as State Representative be elected to serve on another, the individual must decide on which to serve. Depending upon the choice, the individual must communicate his/her decision as soon as possible to the NAESP President or state association. If the choice results in resignation from one governing body in order to serve on another, then the individual must submit that resignation in writing to the NAESP President or state association. In accordance with NAESP policies, the President will then initiate the process to identify a replacement to fulfill the unexpired term or, in the case of the State Representative position, the state association will follow their procedure of appointment.

Authority Level

Action

President/State Association

Alert an individual if he/she is required to choose between governing bodies and apprise him/her of policy requirements. Initiates the process to replace the individual on the governing body from which he/she has resigned in order to serve on another.

Individual Serving on
Governing Body

Select governing body of his/her choice and report the decision as soon as possible to the NAESP President/state association. Submit resignation in writing to NAESP President/state association.

BOARD OF DIRECTORS

Policy Statement 100.15 Zone Directors Attendance at NAESP Program Activities

Contingent upon available grant funds, Zone Directors may attend an Overseas Schools Conference at NAESP expense in addition to the Board of Directors meetings and the conference.

Scope of Policy

Determines the process and program activities Zone Directors may attend at Association expense.

Guidelines for Implementation

1. Zone Directors with the approval of the President and the Executive Director may attend an overseas schools program during their second year on the board of directors contingent upon grant funds available through NAESP's partnership with the U.S. Department of State Office of Overseas Schools.
2. At their own expense, Zone Directors may attend other NAESP program activities of their choice including NAESP's national mentor certification program.

In the event of unforeseen circumstances or an emergency, a Director may request a waiver to participate in an overseas schools program during the subsequent year. Any such alteration shall be subject to the approval of the Executive Director and the President and contingent upon available grant funds.

Procedures

1. Each request shall be reviewed by the President and the Executive Director and their decision communicated to the Zone Director.
2. Zone Directors shall follow the regular procedures for the submission of expenses unless otherwise specified by staff.

Authority Level

As stated above.

Action

As stated above.

BOARD OF DIRECTORS

Policy Statement 100.16 Travel Guidelines for NAESP Officers and Executive Director for State Conferences or Special Meetings

Over the years there has been a heavy demand for the presence of NAESP officers and the Executive Director for state and regional association meetings. There has also been some confusion over what expenses the national office is responsible for and what expenses the state association should assume. In order to provide this service and avoid duplication of effort by having more than one officer or the Executive Director attend the same meeting and to clarify the responsibility for assuming costs, the following policy has been established.

Scope of Policy

To ensure representation to as many state and regional association meetings as possible by NAESP officers and the Executive Director without duplication and to clarify the responsibility for assuming such expenses.

Guidelines for Implementation

1. In order to provide this service at as many states as possible, under budget limitations, attendance at such meetings will be limited to one officer per conference (with most invitations being directed to the NAESP President) or the Executive Director unless unusual circumstances exist where two or more individuals are needed.
2. Invitations to officers to participate in state or regional association meetings should be sent in writing to the headquarters office well in advance of the meeting. If an invitation is extended by telephone, officers are requested to ask that it be put in writing and sent to the headquarters office.
3. The designated NAESP Board Liaison will coordinate all travel and keep the NAESP officers and the Executive Director informed on what invitations have been accepted by what officer.
4. As a general rule, NAESP usually assumes responsibility for all travel costs while the state and regional associations are responsible for the costs of lodging and meals.

Authority Level

Action

Officers

Refer invitations to the NAESP Governance Services Manager

NAESP Board Liaison

Review and submit list of invitations to Executive Director for approval for insurance and other requirements

Executive Director

Sign the necessary documents

BOARD OF DIRECTORS

Policy Statement 100.17 Appointed Board of Directors At-Large Members

Zone Directors shall each serve for a term of three years, commencing on August 1 following the election, with three members retiring each year. Two At-Large Directors may be elected by the Board of Directors to serve a three-year term to represent the needs of the Association, as determined by the Board, with an At-Large Director's term commencing on August following his/her election.

Scope of Policy

Specifies the election and duties of the Directors At Large of the NAESP Board of Directors.

Guidelines for Implementation

A copy of the Prospective Candidate Data Form of the proposed Director At Large should be received at NAESP Headquarters by November 1.

NAESP Board of Directors At-Large Members, being appointed and not elected by electoral zones, have no specific zone responsibilities.

They:

1. Exercise full voting rights on the NAESP Board of Directors.
2. Represent NAESP during their term of office and may attend other meetings at the request of the Executive Director subject to available resources.
3. Attend the National Leaders Conference, the National Distinguished Principals Program, and the National Conference.
4. With the approval of the President and the Executive Director, may attend an overseas schools program during their second year on the board of directors contingent upon available grant funds. In the event of unforeseen circumstances or an emergency, a Director may request a waiver in order to participate in an overseas schools program during the subsequent year. Any such alteration shall be subject to the approval of the Executive Director and the President and contingent upon available grant funds.
5. Advise NAESP on strategies or other actions that might be considered to attract other professionals to the Association.

Authority Level

As stated above.

Action

As stated above.

BOARD OF DIRECTORS

Policy Statement 100.18 Designation of Corporate Officers

For the purpose of running the Association's day-to-day operations, the Association confers all normal and customary authority to the Executive Director and certain staff members designated by the Executive Director.

Scope of Policy

Identifies NAESP staff members who serve as corporate officers of the Association.

Guidelines for Implementation

1. The Executive Director, designated by the Bylaws as the "chief executive", shall serve as the chief operating officer of the Association, with all normal and customary powers and duties of that office. The chief executive shall also serve as the corporate Treasurer and the Corporate Secretary, as designated in the Bylaws.
2. Assistant corporate officers shall be designated by the Executive Director for the purpose of signing checks and other documents.

Procedures

See the Guidelines above.

Authority Level

Action

Executive Director

Exercises all normal and customary authority of a chief operating officer and as designated in the Bylaws and his/her employment agreement.

Assistant Corporate Officer(s) designated by the Executive Director

May sign checks and documents as authorized by the Executive Director.

GENERAL ASSEMBLY

Policy Statement 200.1 Designation of NAESP State Representative; Proxies; Credentials

Each NAESP-affiliated state association and the District of Columbia shall elect one Representative (the “NAESP State Representative”) and shall notify NAESP’s Executive Director of his/her name. The NAESP State Representative shall serve as the state’s voting member at the meetings of the General Assembly.

Each NAESP State Representative shall be allotted such number of votes to cast on behalf of his/her state at meetings of the General Assembly as are determined according to the formula stated in the NAESP Bylaws.

An NAESP State Representative may vote at the General Assembly by written proxy; and references in this Policy to the NAESP State Representative’s rights as a voting member of the General Assembly apply equally to the person holding the NAESP State Representative’s proxy.

NAESP staff will prepare and distribute credentials for the voting members of the General Assembly at the General Assembly meeting.

Scope of Policy

Specifies the process for each state to notify NAESP of its NAESP State Representative designee, identifies the NAESP State Representative as a voting member of the General Assembly and recognizes weighted voting at the General Assembly. Provides for NAESP staff preparation of General Assembly meeting credentials.

Guidelines for Implementation

1. Selection of the NAESP State Representative and notification of NAESP’s Executive Director of the individual selected is each state’s responsibility.
2. NAESP staff shall prepare voting member ribbons, credentials materials, voting materials, and other materials to be given to the NAESP State Representative for each state prior to the General Assembly meeting, according to the identification information provided to NAESP by each state.
3. NAESP staff shall also prepare the materials to be given to the NAESP State Representatives and Chair at the meeting of the General Assembly.

Policy Statement 200.1 Designation of NAESP State Representative; Proxies; Credentials (Cont.)

Procedures

1. NAESP staff will prepare: (a) a list of the names of the NAESP State Representatives and the state each represents; (b) the number of votes allotted to each NAESP State Representative based upon the number of regular Association members in the recognized NAESP-state affiliated association according to the formula in the NAESP Bylaws; (c) an attendance form for the NAESP State Representatives to sign. The staff will provide copies of the names and allocations of votes to the President before the meeting of the General Assembly begins.
2. NAESP staff will prepare a General Assembly voting member ribbon for use by each NAESP State Representative, and he/she will sign a receipt for the ribbon. The voting member ribbons, along with other materials, will be distributed to the voting members before the meeting of the General Assembly begins.
3. NAESP staff shall prepare such written materials as will be distributed to the NAESP State Representative prior to the meeting of the General Assembly and during the meeting.
4. NAESP will review the names of all expected voting members of the General Assembly and their credentials and prepare and provide a report to the NAESP President before the General Assembly meeting begins.
5. The Executive Director will send an acceptable form of a proxy which any NAESP State Representative may sign and give to another member from his/her state, or to the NAESP State Representative from another state, authorizing the proxy holder to vote some or all of the votes the NAESP State Representative is entitled to cast at the General Assembly meeting.
6. Proxies may be recognized by the presiding officer of the General Assembly, whenever presented.
7. Proxies shall be in writing and shall be valid for not more than three months.
8. If there is any dispute about the validity of a proxy, the other NAESP State Representatives in attendance shall decide the issue by a majority of their weighted votes.

Policy Statement 200.1 Designation of NAESP State Representative; Proxies; Credentials (Cont.)

<u>Authority Level</u>	<u>Action</u>
Each State	Selects its NAESP State Representative and notifies NAESP
NAESP Staff	Confirms the voting members of the General Assembly prior to the General Assembly and prepares voting member ribbons, receipts, credentials, reports and information to be distributed.
Executive Director	Sends an acceptable form of proxy to State Representatives.
Reference	Bylaws Articles III and VI.

Policy Statement 200.1A NAESP State Representatives

The NAESP Bylaws approved in 2014 significantly enhanced the governance responsibilities for those who hold the office of NAESP State Representative. This policy is intended to provide guidance and clarity related to the election of, term(s) of office, filling of vacancies, and powers and duties of the NAESP State Representative.

The NAESP Bylaws *Article II. Membership, Section 2. Rights and Benefits* states: *Only regular members who are principals or assistant principals assigned to a specific school(s) that are responsible for the supervision of teachers and children in that school may hold office.*

Specifically, the NAESP Bylaws *Article VI. NAESP State Representatives* provides qualifying information in *Section 1. Allocation; Section 2. Selection; Section 3. Term of Office and Qualifications; Section 4. Filling of Vacancies; and Section 5. Powers and Duties.* Following is a verbatim excerpt from the current NAESP Bylaws:

Article VI. NAESP State Representatives

Section 1. Allocation

- a) There shall be one Representative from each NAESP-affiliated state association and the District of Columbia.
- b) Definitions:
 - 1) The phrase “NAESP State Representative” shall include such representative;
 - 2) The word “state” shall include such geographic area;
 - 3) The phrase “state association” includes the association of elementary and middle level principals in such area that has been recognized by the Association.
- c) The recognized state association shall be the state organization that has the largest number of Association members.

Section 2. Selection

The NAESP State Representative shall be elected by the recognized state association.

Section 3. Term of Office and Qualifications

- a) The NAESP State Representative shall serve for a three-year term commencing when elected to take office at the state level. No NAESP State Representative may serve more than two (2) consecutive terms.
- b) The NAESP State Representative shall be a regular, dues-paying principal or assistant principal member of the Association and of the recognized state association.

Section 4. Filling of Vacancies

In the event that an NAESP State Representative does not complete the three-year term, the governing body of the recognized state association shall designate a successor to fill the unexpired term.

Section 5. Powers and Duties

NAESP State Representatives shall:

- a) Serve as liaison between the Association and his/her respective recognized state association;
- b) Coordinate the Association membership campaigns within his/her respective state;
- c) Advise the Board of Directors on policies and programs;
- d) Meet as a leadership group once a year;
- e) Select the Nominating Committee and the chairperson thereof;
- f) Serve as a voting member of the General Assembly. Each NAESP State Representative shall be allotted votes based on the number of regular Association members in his/her recognized NAESP-affiliated state association, as specified below:
 - 1) 0 to 99 regular members: one vote
 - 2) 100 to 199 regular members: two votes;
 - 3) 200 to 299 regular members: three votes;
 - 4) 300 to 399 regular members: four votes;
 - 5) 400 to 699 regular members: six votes;
 - 6) 700 to 999 regular members: eight votes; and
 - 7) 1000 regular members and up: ten votes;
- g) Comply with Article IV, Section 2 c) and f) for the purpose of filling zone director vacancies; and
- h) Perform other duties according to policy.

Scope of Policy

Defines the election of and the terms of office for NAESP State Representatives. Only regular members who are principals or assistant principals assigned to specific schools that are responsible for the supervision of teachers and children in that school are eligible to hold office as a NAESP State Representative. Further, a NAESP State Representative's initial term of office is to be three (3) years and he/she may be elected to hold the office for a consecutive three (3) year term. No State Representative may serve more than two (2) consecutive terms or more than (6) years total.

Guidelines for Implementation

It is the responsibility of all NAESP State Affiliates and their elected NAESP State Representatives to adhere to this policy and procedures.

Procedures

Authority Level

Action

State Affiliate

Establishes a process for electing the NAESP State Representative, conducts the election, and submits the name and contact information for the individual NAESP regular member elected to office in accordance with the NAESP Bylaws, Articles II and VI as stipulated above.

NAESP State Representatives

Adhere to the Policy and Procedures as stipulated above.

NAESP Governance Staff

Verify that the individual elected by each State Affiliates is a regular member of NAESP and that his/her term(s) of office is consistent with the Policy as stipulated above. Inform the Board of Directors should a violation occur.

NAESP Board of Directors

Take action as needed to ensure that the Policy and Procedures are being heeded by State Affiliates and NAESP State Representatives.

Policy approved by the NAESP Board of Directors March 2016.

GENERAL ASSEMBLY

Policy Statement 200.2 General Assembly Rules and Procedures

The General Assembly shall conduct its meeting according to adopted rules and procedures, and according to the NAESP Bylaws where they specify the procedure.

Scope of Policy

Requires the General Assembly to operate within specified rules and procedures.

Guidelines for Implementation

1. Robert's Rules of Order, Newly Revised, shall be followed, except: (a) for modifications listed below; (b) where the NAESP Bylaws provide a procedure to be followed at the General Assembly; and (c) when a majority of the voting members of the General Assembly votes to suspend Robert's Rules of Order, Newly Revised, or apply a different procedural rule(s).
2. Only: (a) members of the NAESP Board of Directors; (b) NAESP State Representatives; and (c) someone holding the proxy of NAESP State Representative will be permitted to speak or vote on any matter except that NAESP staff members may speak on a specific subject if requested to do so by the chair.
3. In all cases, there will be weighted voting. An NAESP State Representative is entitled to cast the number of votes allotted to him/her according to the formula stated in Bylaws Article VI.
4. In addition to those entitled to vote, each state shall have the right to have one state association staff member on the floor of the General Assembly with non-voting status.
5. A voting member of the General Assembly desiring to make a motion or address the assembly shall go to a microphone and indicate to the assigned microphone monitor his desire to speak. When the delegate is recognized by the chair, he/she shall give his/her name and state before addressing the Assembly.
6. No voting member of the General Assembly may speak more than twice during a debate on the same question or for more than three minutes at any one time unless permission is granted by a majority vote of the Assembly.
7. Motions other than procedural motions shall be entered in the minutes along with the name of the maker.
8. Voting may be by proxy. See, Policy Statement 200.1.
9. Voting shall be by voice, show of hands, or standing.

Policy Statement 200.2 General Assembly Rules and Procedures (Cont.)

10. There shall be an official parliamentarian.

11. All questions about parliamentary procedure shall be directed through the chair.

12. Items to which there are no objections may be passed by the sounding of the gavel.

Procedures

See guidelines above.

Authority Level

General Assembly

Reference

Action

As stated above.

Bylaws Articles III and V

GENERAL ASSEMBLY

Policy Statement 200.3 Seating at General Assembly

A prescribed seating arrangement shall be maintained to facilitate participation in the proceedings of the General Assembly.

Scope of Policy

Requires a prescribed seating arrangement at the General Assembly.

Guidelines for Implementation

1. Board members shall be seated in the front row of the area designated for seating the Board and the NAESP State Representatives, facing the stage, with access to a microphone.
2. NAESP State Representatives, alternates (if voting), and those individuals holding state proxies will be seated, by zone, in the area designated for seating the Board and State Representatives, facing the stage, with access to a microphone. Zone seating locations will be random, with the zone which includes the President's home state being seated in the front row.
3. There will a separate area of open seating for other non-voting members.

Procedures

See guidelines above.

Authority Level

Action

Board members

Sit in the front row of the area designated for the Board facing the stage, with access to a microphone.

State Representatives,
Alternatives and Proxy Holders

Sit in a designated area. Zone seating locations will be random; the zone that includes the home state of the President shall be seated in the front row.

Other NAESP Members

Shall be seated separately in a designated area.

GENERAL ASSEMBLY

Policy Statement 200.4 Publication of Proposed General Assembly Action

A general description of the issues and other business which is planned or expected to be on the agenda at a meeting of the General Assembly shall be made available to the entire membership through a regular or special publication at least thirty (30) days prior to the General Assembly.

Scope of Policy

Requires notification to members of the general issues and other business which is planned or expected to be on the meeting agenda thirty (30) days prior to the General Assembly.

Guidelines for Implementation

As indicated.

Procedures

As indicated.

Authority Level

NAESP Staff

Action

Provide members with required information.

GENERAL ASSEMBLY

Policy Statement 200.5 Publication of Proposed General Assembly Action to Amend the NAESP Bylaws to Increase Quorum or Voting Requirements

The General Assembly shall vote on any proposed amendment to the NAESP Bylaws which would increase the quorum or voting requirements: (1) of the Board of Directors; or (2) of the NAESP State Representatives of the General Assembly.

The proposed amendment to the Bylaws to be voted on by the General Assembly shall be made available to the entire membership through a regular or special publication at least thirty (30) days prior to the General Assembly meeting.

Scope of Policy

The General Assembly's vote on such a proposed Bylaws amendment in this limited area is an exception to the general rule that the Board of Directors has full authority to amend the Association's Bylaws. Requires notification to members of any proposed Bylaws amendments which will be voted on by the General Assembly thirty (30) days prior to the General Assembly meeting.

Guidelines for Implementation

As indicated.

Procedures

As indicated.

Authority Level

NAESP Staff

Action

Provide members with required information.

Reference

Bylaws, Article XI, Section 1 c).

GENERAL ASSEMBLY

Policy Statement 200.6 Publication and Distribution of Proposed General Assembly Action to Amend the NAESP Articles of Incorporation

If the NAESP Board of Directors adopts a proposed amendment to the Articles of Incorporation of NAESP, then it shall be submitted to the General Assembly for a vote. Copies of the proposed amendment shall be: (1) distributed to the voting members of the General Assembly at least thirty (30) days before it meets to consider the proposed amendment; and (2) made available to the entire membership through a regular or special publication at least thirty (30) days before the General Assembly meeting at which the proposed amendment will be considered.

The President shall notify the Association membership when the articles of incorporation have been amended.

Scope of Policy

Requires notification to the voting members of the General Assembly and to all NAESP members of any proposed amendment to the NAESP Articles of Incorporation at least thirty (30) days prior to the General Assembly meeting at which the amendment will be considered.

Guidelines for Implementation

As indicated.

Procedures

As indicated.

Authority Level

Executive Director and
NAESP Staff

Action

Provide voting members of the General Assembly and all
NAESP members with required information.

Reference

Bylaws, Article XI, Section 2 c).

ELECTION OF NAESP OFFICERS AND DIRECTORS

Policy Statement 300.1 Election Procedures for Vice President

NAESP election procedures for the election of the NAESP Vice President are established to ensure that (1) all potential candidates understand the nomination process, (2) campaigns are conducted in a manner appropriate to a professional organization, and (3) campaign costs are held to a minimum. The Officers and Executive Director of the Association are empowered to investigate any alleged campaign violations and may take action deemed appropriate up to and including elimination of the candidate/candidates from the race.

Scope of Policy

1. Campaign equity: NAESP's role
2. Nomination procedures
3. Pre-nomination activities
4. Campaigning for office
5. Campaign finances
6. Balloting
7. Vacancy in the Office Vice President

Guidelines for Implementation

1. All applications and submissions from candidates shall be submitted electronically.
2. Campaign equity: NAESP will provide equitable publication and dissemination of candidate information and appropriate visibility for candidates.
3. Nomination procedures: Candidates seeking nomination to NAESP office must obtain designated forms (Prospective Candidate Data Form) and policy statements from the NAESP office.

Policy Statement 300.1 Election Procedures for Vice President (Cont.)

4. Pre-nomination activities: Prospective Candidates (those who have submitted nomination materials to the Nominating Committee) are not to ask for formal state endorsements or support, other than supporting letters and information necessary to complete the nomination materials, until the Nominating Committee has met and officially approved their candidacy. All pre-nomination promotional activities that could be connoted as campaigning for office are prohibited by or for any individual prior to selection and announcement of candidates by the Nominating Committee, including any activity during NAESP conferences, state affiliate conferences and/or any other affiliated conferences. Members of the Nominating Committee should not be “lobbied.” Prospective candidates will not be allowed to travel to promote their candidacy.
5. Campaigning for office: Nominees for Vice President shall submit statements for publication in the *Communicator*. After the Nominating Committee has met and officially approved the candidates for office, promotion of a candidate in zone or state publications is allowed as long as the publication is not designed solely for the purpose of promoting a candidate.
6. Candidates shall not solicit campaign funds from commercial vendors.
7. Balloting: The election ballots that NAESP sends to voting members shall be accompanied by the candidate’s statement.

Procedures

1. Campaign equity – NAESP’s role:
 - A. Upon a request, NAESP staff shall provide all prospective candidates (or their representatives) with the following materials: (1) the Prospective Candidate Data form; (2) Guidelines to the Nominating Committee; (3) minimum qualifications for the office; and (4) the Election Procedure Guidelines.
 - B. Each candidate for Vice President will be provided equal space in the *Communicator* and on the NAESP Web site devoted to whatever statement they wish to make, their photo and their curriculum vita. Through the *Communicator*, and the NAESP Web site the information will reach all NAESP members eligible to vote. The candidates for Vice President may not use in their statements in any other campaign communications or use quotations or names from letters of support without the express consent of the person named or quoted. In no case may the name of a current Board member be used in campaign materials.

- C. Each candidate for Vice President will be invited to make a presentation of not more than five (5) minutes during the NAESP National Leaders Conference. Each presentation will be videotaped and available for viewing via the NAESP Web site (www.naesp.org) following the conference through the last day of voting.
 - D. Should the Nominating Committee select a candidate(s) for the office of Vice President who would otherwise have no official reason for attending the General Assembly and the National Leaders Conference; NAESP shall cover expenses for the candidate(s) in accordance with NAESP travel policies.
 - E. No gift items, campaign speeches or displays will be permitted during any zone meetings or any General Assembly meeting.
2. Pre-nomination activities: See item Number 3 in the Guidelines for Implementation, above, for the restrictions on activities.
 3. Nomination Procedures:
 - A. NAESP members seeking to recommend candidates for nomination for NAESP Vice President and potential candidates themselves are urged to review the NAESP Nominating Committee policies. Nomination documents and instructions are available at NAESP headquarters. These documents include: a letter to state leaders, a form for suggesting nominees, a Prospective Candidate Data form, and a letter to the nominees.
 - B. Members interested in running for Vice President and those interested in nominating another member for the office are advised to adhere to the time frame as specified in Policy Statement 400.5 Guidelines for the NAESP Nominating Committee.
 - C. NAESP members recommending candidates for nomination as Vice President or the prospective candidates themselves shall submit, electronically, all prospective candidate data, including the Prospective Candidate Data form, so it is received by NAESP headquarters not later than October 1. A candidate's nominating materials shall be no more than 25 pages, 8-1/2 x 11, single-sided. Letters from the district superintendent, the Prospective Candidate Data Form and the candidate's philosophy will not be counted in the number of pages allowed. Letters received by the NAESP office will be sent to the prospective candidates and they may select them for inclusion in their 25 pages. Prospective candidates shall submit an electronic colored professional photograph (headshot) of high resolution. Prospective candidates are encouraged to include letters of support in their data folder. No candidate materials, including letters of endorsement, will be accepted after the October 1st deadline. All Prospective Candidate Data Forms should be typed. Prospective candidates shall not send materials directly to the Nominating Committee as a whole or to individual Committee members.

Prospective candidates running for the Office of Vice President will participate in a live interview session via electronic means at a designated time during the meeting of the Nominating Committee. The Chair of the Nominating Committee will determine three questions to be asked of the candidates in their live electronic interview.

Prior to their interview session with the Nominating Committee, the candidates will receive two of the three questions; however, the third question will be asked to elicit a spontaneous response from the candidates.

- D. The Nominating Committee will serve as the selection committee to ensure there are at least two (2) candidates for Vice President. The Executive Director will notify the Nominating Committee of the names of the prospective candidates for Vice President; and shall mail, e-mail, or electronically distribute to the Nominating Committee the nominating materials submitted to NAESP not later than November 1. Should NAESP receive fewer than the required names of two potential nominees for Vice President by October 1st, the Association will immediately set in motion procedures to gain additional candidates which may be considered by the Nominating Committee.

4. Campaigning for office:

- A. The NAESP President shall initiate a conference call with the candidates for Vice President following their selection by the NAESP Nominating Committee. The purpose of the conference call will be to review the policies and expected procedures for campaigning for office in order to avoid misunderstanding and assure a campaign that reflects well on NAESP as a professional organization.
- B. In addition to the statements by the candidates for Vice President published in the *Communicator* and on NAESP's Web site, statements by all candidates will be sent with the ballot. Use of *Principal* magazine for campaign purposes is not permitted.
- C. Candidates are permitted to communicate, through NAESP with NAESP assistance, with eligible voters via email three times during the election period of December through February. Candidates shall be responsible for meeting all deadlines.
- Email # 1 on or about December 15 will be authored by the candidate. The email will be limited to a 300 word maximum and will be unedited by NAESP staff.
 - Email # 2 on or about January 15 will be authored by the candidate's state Executive Director or other "high ranking" official of the candidate's state association. The email will be limited to a 300 word maximum and will be unedited by NAESP staff.
 - Email # 3 following the National Leaders Conference will contain a brief unedited video of the candidate responding live to two questions posed by the NAESP President. One of the two questions will be the same for each candidate and the second question will be selected randomly. Candidates will not know the questions in advance of the interview but will be given the general topics of the questions in advance to allow preparation. Candidates will have two minutes to respond to each question.

The interviews will be videotaped and made available on the NAESP website along with the candidates' taped speeches.

- Each email distributed by NAESP will not be segregated by candidate but shall contain content for all candidates for Vice-President.

- D. Mass mailings, distributions, and or communications made to eligible voters promoting a candidate, including emails, faxes, telephone or other electronic communications shall be permitted so long as the mailings are not initiated by a candidate but are conducted by someone who knows the candidate personally and are delivered to an audience which it can be reasonably presumed knows the candidate.
- E. Candidates and those promoting candidates may use social media such as Twitter and Facebook so long as no money is spent in the conduct of the promotion(s).
- F. Endorsement of a candidate running for Vice-President is prohibited by any member of the Board of Directors.
- G. No candidate or their supporters may use NAESP membership lists in the promotion of a candidate.

5. Campaign finances:

- NAESP money allocated to members of the Board of Directors may not be spent to provide support to any candidate or to distribute any campaign materials. This does not exclude Zone Directors from mailing minutes of Zone meetings as part of their official actions.
- A candidate may not solicit financial support from any source to promote their candidacy.

6. Balloting:

- A. Each candidate for Vice President is expected to submit information in a written statement for inclusion with the ballot being sent to voting members. The statement shall adhere to the specifications approved by the Board (Policy 300.3). Staff shall not be expected to edit the statements.
- B. The Executive Director shall oversee preparation and distribution of the ballots. The ballots may be sent to members as paper ballots, e-mail, facsimile, or another form of electronic ballot, but any eligible voting member shall be entitled to cast only one form of the ballot. Candidates will be listed alphabetically on all ballots. Information concerning the candidates for Vice President shall be included with the ballot, and space shall be provided on the ballot for write-in votes.
- C. Voting shall open within five (5) business days following a meeting of the General Assembly and voting will close no later than ten (10) business days thereafter.

D. The winner of the election for Vice President shall be the candidate who receives the most votes of all the valid ballots cast by the regular membership of the Association. NAESP legal counsel of record or NAESP's independent auditors will certify the election results. In the event of a tie, a new election in accordance with the procedures and guidelines as outlined in this and other Board policies shall be held immediately.

7. Vacancy in the Office of Vice President Before the End of the Term:

In the case of a vacancy in the office of Vice President before the end of the one-year term occurring by reason of death, resignation, or other disqualification (including early advancement to the office of President-elect), the President shall, within ten (10) days after the vacancy occurs, instruct the Executive Director to initiate the election process, as prescribed by the Bylaws. The President's instructions to the Executive Director shall include a changed and compressed schedule for the election of the Vice President by the membership.

Authority Level

As specified.

Reference

Action

As stated above.

Bylaws Article V, Sections 3 and 5.

ELECTION OF NAESP OFFICERS AND DIRECTORS

Policy Statement 300.2 Election Procedures for Zone Directors

Zone Directors serve three-year terms. Absent a mid-term vacancy, three Zone Directors are elected each year. NAESP election procedures for Zone Director are established to ensure that all potential candidates understand the application and election.

To the extent the zone procedures are not inconsistent with the procedures in the NAESP Bylaws and this Policy Statement; zones shall establish their own procedures for conducting elections. Zone procedures must be open, fair, inclusive and transparent. Zone leadership is encouraged to foster minority participation.

Scope of Policy

1. NAESP's role
2. Nomination/application procedures
3. Vacancies

Guidelines for Implementation

1. All applications and submissions sent by prospective candidates to NAESP shall be submitted electronically.
2. Nomination procedures: Members interested in running for Zone Director must obtain the designated forms and policy statements from the NAESP office.
3. Candidates shall not solicit campaign funds from commercial vendors.

Procedures

1. NAESP's role: Upon request, NAESP staff shall provide all prospective candidates for Zone Director (or their representatives) with the Prospective Candidate Data form, a copy of this Policy, and Guidelines to the Zone Director Candidate—including minimum qualifications, specifying not only the basic information required to be submitted to apply for candidacy, but all supplementary information that might prove useful in guiding those who will vote for Zone Director in that zone.
2. Nomination Procedures:

The following Procedures shall apply:

Policy Statement 300.2 Election Procedures for Zone Directors (Cont.)

- A. NAESP members seeking to recommend candidates for nomination for Zone Director and potential candidates themselves are urged to review the NAESP Zone Director election policy, nomination documents and instructions available at NAESP headquarters. These documents include: a form for suggesting nominees, a Prospective Candidate Data form, and a letter to the prospective candidates.
 - B. No later than November 1, each interested prospective candidate for the position of Zone Director (or members recommending candidates for nomination) shall electronically submit the Prospective Candidate Data Form designate by NAESP, with attachments, to the NAESP Executive Director or his/her designee, at NAESP headquarters. Candidates' nominating materials shall be no more than 25 pages, 8-1/2 x 11, single-sided. Letters from the district superintendent, the Prospective Candidate Data Form and the candidate's philosophy will not be counted in the number of pages allowed. Letters received by the NAESP office will be sent to the prospective candidates to be selected for inclusion in their 25 pages. Prospective candidates shall submit an electronic colored professional photograph (headshot) of high resolution. Prospective candidates are encouraged to include letters of support in their data folder. No candidate materials, including letters of endorsement, will be accepted after the November 1st deadline date. For legibility, all Prospective Candidate Data Forms should be typed.
 - C. The Executive Director and Zone Director shall oversee the distribution of the prospective candidate information, submitted to NAESP, to the appropriate Zone Directors within thirty (30) days.
 - D. The Zone Director from the zone in which the prospective candidate is running shall electronically disseminate all applications received to the NAESP State Representatives in the zone. The Zone Director shall be responsible for chairing a process with the NAESP State Representatives in the zone for electing the next Zone Director. If the Zone Director's seat is vacant prior to the election of a new Zone Director, the President-elect shall either perform the Zone Director's nomination and election process duties for that zone or else shall appoint a Zone Director from different zone to perform them. Prospective candidates shall not send packets of the nomination materials directly to the current Zone Director or the State Representatives.
3. Campaigning for office:
- A. The NAESP Zone Director shall initiate a conference call with all candidates for Zone Director. For those zones with candidates, current Zone Directors should be included in this conference call if possible.
 - B. Candidates for Zone Director are urged to use the publications of affiliates in their zones. NAESP will ask the state organizations to cooperate in this endeavor.

Policy Statement 300.2 Election Procedures for Zone Directors (Cont.)

- C. Statements by the candidates will be included in the applications and materials which the Zone Director is required to electronically disseminate to the NAESP State Representatives in their zone.

4. Campaign finances:

NAESP money allocated to members of the Board of Directors may not be spent to provide support to any candidate or to distribute any campaign materials. This does not exclude Zone Directors from mailing minutes of Zone meetings as part of their official actions. Candidates shall not solicit campaign funds from commercial vendors.

5. Balloting:

- A. The Zone Director is responsible for chairing a process with the NAESP State Representatives for electing the next Zone Director. The existing Zone Director shall be neutral and shall not vote.
- B. Each candidate for Zone Director is expected to comply with guidelines established within the zone.
- C. No later than the last day of voting for NAESP Vice President, each Zone Director shall submit to the President and the Executive Director the name of the newly elected Zone Director.

6. Filling a Vacancy Occurring Before the Expiration of the Term

- A. In the event of a vacancy in the position of Zone Director before the end of the three-year term, the NAESP President-elect shall announce the Zone Director vacancy to the NAESP State Representatives from that zone. The vacancy shall be filled according to the procedures stated in this Policy, but with a compressed schedule.
- B. The individual elected shall assume his/her position as a Zone Director immediately after being elected and shall serve the remainder of the unexpired term.
- C. The individual elected to fill the Zone Director vacancy shall be eligible to seek nomination and election to a three-year term as a Zone Director if the unexpired term he/she serves is 18 months or less. If the unexpired term he/she serves is greater than 18 months, then the individual shall not be eligible to seek nomination or election to a three-year term as Zone Director.

Authority Level

As specified.

Reference

Action

As stated above.

Bylaws Article IV.

ELECTION OF NAESP OFFICERS AND DIRECTORS

Policy Statement 300.3 Candidates for NAESP Vice President: Data to Accompany Application; Specifications

Each candidate for election to the office of NAESP Vice President shall complete and submit as an application the Prospective Candidate Data form provided by NAESP, and include the candidate's enclosures. The information provided must adhere to the space and content specifications described herein.

Scope of Policy

Directs candidates for election as NAESP Vice President to comply with specifications for submitting information to NAESP.

Guidelines for Implementation

The information to be provided by candidates shall be submitted electronically and is specified in the Prospective Candidate Data Form and should include:

1. Name – include the middle initial or middle name, and prefix and/or suffix, if desired.
2. Current position and contact information.
3. Past professional experience.
4. Professional affiliations – information should include service as a state representative, membership on national NAESP committees, leadership jobs at NAESP conferences, etc. Information may include all major activities in your state elementary school principals association, state education association, and local association; service on local or state school committees; membership in national professional fraternal groups, etc. Specify if offices have been held in any of these groups and give dates.
5. Professional honors received.
6. Civic or community awards or honors received.
7. Education – include degrees, the years in which they were granted, exact names of granting institutions.
8. Candidate's statement on key issues (to be published in the *Communicator* and included with ballots) – the instructions will specify the word limit.
9. An electronic professional colored photograph (headshot) of high resolution – the instructions will specify the size and format.
10. Professional positions - include the dates and locations of services as a teacher, supervisor, curriculum director, principal and the like. An exact description of the current position held (e.g., principal, George Washington School, Sunflower, New York) is important.

Procedures

See guidelines above.

Authority Level

Action

Candidates for Vice President

As stated above.

ELECTION OF NAESP OFFICERS AND DIRECTORS

Policy Statement 300.4 Candidates for NAESP Zone Director: Data to Accompany Application, Specifications

Each candidate applying for election to the NAESP Board of Directors as a Zone Director shall complete and submit as an application the Prospective Candidate Data form provided by NAESP. The information provided must adhere to the space and content specifications described herein.

Scope of Policy

Directs candidates for election as NAESP Zone Director to comply with specifications for submitting information to NAESP.

Guidelines for Implementation

The information to be provided by candidates shall be submitted electronically and is specified in the Prospective Candidate Data form and should include:

1. Name – include the middle initial or middle name, if desired.
2. Current position and contact information.
3. Past professional experience.
4. Professional affiliations – information should include service as a state representative, membership on national NAESP committees, leadership jobs at NAESP conventions, etc. Information may include all major activities in your state elementary school principals association, state educational association, and local association; service on local or state school committees; membership in national professional fraternal groups, etc. Specify if offices have been held in any of these groups and give the dates.
5. Professional honors received.
6. Civic or community awards or honors.
7. Education – include degrees, the years in which they were granted, exact names of the granting institutions.
8. An electronic professional colored photograph (headshot) of high resolution – the instructions will specify the size and format.
9. Professional positions - include the dates and locations of services as a teacher, supervisor, curriculum director, principal and the like. An exact description of the current position held (e.g., principal, George Washington School, Sunflower, New York) is important.
10. The applications are due at NAESP headquarters no later than November 1st and are limited to 25 pages.

Procedures

See the guidelines above.

Authority Level

Action

Candidates As stated above.

ELECTION OF NAESP OFFICERS AND DIRECTORS

Policy Statement 300.5 Dissemination of Information of results of the Election of the NAESP Vice President.

Immediately following the counting of ballots and preparation of the Election Audit Board's report, the chair of the Elections Committee shall notify the Executive Director and the President of the results of the balloting for the annual election of the NAESP Vice President.

Scope of Policy

Defines the procedure for notifying appropriate persons of the results of the annual election for Vice President.

Guidelines for Implementation

The persons who are to be given notification of the election results shall be:

- Candidates
- Members of the Board of Directors
- State Presidents
- NAESP State Representatives
- State Executive Directors
- Editors of state association publications
- NAESP Members

Procedures

1. Immediately following the counting of ballots and preparation of the Election Audit Board's report, the Chair of the Elections Committee shall notify the Executive Director and the President of the results of the balloting for the annual election of the NAESP Vice President.
2. The NAESP President, Executive Director, or designated staff shall notify the members of the Board of Directors on the day of or the day immediately following the convening of the Election Audit Board.
3. The Election Audit Board or NAESP designated staff shall notify the candidates of the election results of the balloting for the election of the Vice President on the day the election results are certified or the day immediately following the certification.
4. As soon as reasonably possible after the Board of Directors and candidates have been notified of the certified election results, the NAESP staff will notify the State Presidents, NAESP State Representatives, State Executive Directors, editors of state association publications, and all NAESP members of the election results.

Policy Statement 300.5 Dissemination of Information of results of the Election of the NAESP Vice President. (Cont.)

5. The Election Committee's report is not regarded as privileged information once it has been disseminated to the candidates and to the Board of Directors.
6. The following more specific information will not be publicized but will be provided if requested by a candidate or other member of the Association: the actual number of ballots cast for each candidate; a breakdown, by state, of votes cast for each candidate.

<u>Authority Level</u>	<u>Action</u>
Chair & Election Audit Board	As stated above.
President & Executive Director	As stated above.
NAESP Designated Staff	As stated above.

ELECTION OF NAESP OFFICERS AND DIRECTORS

Policy Statement 300.6 Dissemination of Information on Election Results. Election of Zone Directors

Absent a mid-term vacancy, a zone will elect a new Zone Director once every three years. Zones which elect a new Zone Director to serve a three-year term shall immediately notify the candidates for the office of Zone Director and the NAESP President and Executive Director of the name of the person elected as the new Zone Director. If the election process is completed after business hours, the zone may wait until the next business day to notify the candidates and the NAESP President and Executive Director of the election results.

Scope of Policy

Defines the procedure for notifying appropriate persons of the results of the election of Zone Directors.

Guidelines for Implementation

The persons who are to be given notification of the Zone Director election results shall be:

- Candidates
- Members of the Board of Directors
- State Presidents
- NAESP State Representatives
- State Executive Directors
- Editors of state association publications
- NAESP Members

Procedures

1. The NAESP President, Executive Director, or designated staff shall notify the members of the Board of Directors on the day of or the day immediately following the day the zone notifies the NAESP President and Executive Director of the name of the person elected as Zone Director.
2. As soon as reasonably possible after the Board of Directors and has been notified of the Zone Director elected, the designated NAESP staff shall notify the State Presidents, NAESP State Representatives, State Executive Directors, editors of state association publications, and all NAESP members of the Zone Director election results.

Policy Statement 300.6 Dissemination of Information on Election Results. Election of Zone Directors

<u>Authority Level</u>	<u>Action</u>
Zone	As stated above.
President & Executive Director	As stated above.
NAESP Staff	As stated above.

ELECTION OF NAESP OFFICERS AND DIRECTORS

Policy Statement 300.7 Election Audit Board

The President shall appoint an Election Audit Board of at least three members of NAESP. Members shall serve a one year term.

Scope of Policy

Describes the composition, term, and responsibilities of the Election Audit Board.

Guidelines for Implementation

1. The President shall appoint three members to the Election Audit Board, one of whom shall serve as chair.
2. The Election Audit Board shall meet at the Association's offices or via conference call to examine the tallies of the electronic ballots cast and any paper ballots, and determine the candidate who has received the most votes for election to the Office of Vice President. If the election is conducted electronically, an independent contracted vendor shall oversee the election and provide election results and reports to the Chair of the Election Audit Board.
3. NAESP's legal counsel of record or NAESP's independent auditors shall certify the results of the election for Vice President and notify the Chair of the Election Audit Board of the results. The Chair of the Election Audit Board shall notify the Executive Director and the President as soon as possible of the certified results of the election.

Procedures

See the Guidelines above.

Authority Level

Action

President

Appoint three members to Election Audit Board.

NAESP's Legal Counsel or
NAESP's Independent Auditors

Certify the election results for the office of Vice President and notify the Chair of the Elections Audit Board.

Election Audit Board

Determine the candidate who receives the most votes for Vice President, receive a certification of the election results from NAESP's legal counsel of record or its independent auditors, certify the election results and notify the President and the Executive Director, and the candidates.

COMMITTEES

Policy Statement 400.1 Committee Membership

NAESP Committees should be representative of the widest possible range of interests, experience, diversity and geography.

Scope of Policy

Defines the general characteristics to be included in selecting committee.

Guidelines for Implementation

Except in unusual circumstances, no NAESP governance committee should

1. Have persons who are not members of NAESP in good standing;
2. Have representation of only one sex or race;
3. Contain members who are serving simultaneously on another NAESP committee;
4. Contain more than one member from the same electoral zone, except officers who are assigned to serve as chair.

Committees other than governance committees should adhere to statements 1-3 above.

Procedures

All committee members, when accepting an appointment, are expected to attend committee meetings, either in person or otherwise.

A committee member who does not attend two successive meetings may be removed and replaced.

Authority Level

Action

President

Appoints all NAESP Committee members; considers representative characteristics of committee members when appointing.

COMMITTEES

Policy Statement 400.2 Types and Structure of NAESP Committees

NAESP has two types of committees: Standing and Special.

The Board of Directors shall develop guidelines for each committee to follow.

Scope of Policy

Defines the two types of NAESP committees.

Guidelines for Implementation

1. Standing Committees: The type, composition, membership and function of Standing Committees, sometimes referred to as Governance Committees, is mandated by the NAESP Bylaws, Article VIII, Section 1.
2. Special Committees: The Association shall provide for special concerns through committees as deemed necessary by the Board of Directors. The President shall appoint Committee members and chairpersons based on the recommendations from the Board of Directors.

Procedures

See guidelines above.

Authority Level

Action

Board of Directors

As stated above.

President

Appoints chairpersons and members of Association Standing Committees, except where the Bylaws otherwise provide. Appoints chairpersons and members of Special Committees, except where the Bylaws otherwise provide.

COMMITTEES

Policy Statement 400.3 Standing or Governance Committees

NAESP Bylaws specify three standing, sometimes known as governance committees: (1) Nominating, (2) Resolutions, and (3) Membership.

Scope of Policy

Specifies the standing or governance committees of NAESP.

Guidelines for Implementation

Listed in the separate policy statement for each committee.

Procedures

Listed in the separate policy statement for each committee.

Authority Level

Listed with each specific committee.

Action

Listed with each specific committee.

COMMITTEES

Policy Statement 400.4 Selection of the Nominating Committee

NAESP State Representatives shall meet annually to elect the members of the Nominating Committee for one-year terms. The Nominating Committee shall consist of one member from each of the nine zones, with one member acting as chairperson.

Scope of Policy

This policy establishes the requirements and processes by which State Representatives annually elect the nine members of the Nominating Committee.

Guidelines for Implementation

1. Each zone shall have one member from that zone on the Nominating Committee.
2. Each member of the Committee must be a member of NAESP. Several years of membership are preferred.
3. All groups - ethnic minority, male, female - must be represented on the Committee.
4. At least one and not more than three carry-over persons must be selected. Members may not serve more than two terms on the Nominating Committee. Carry-over members are considered to be those with prior experience on the Committee.
5. Not more than four members may be NAESP State Representatives. Persons will be considered to be NAESP State Representatives if they hold that position on the first of July preceding the annual meeting of the Nominating Committee.
6. Persons serving on the Nominating Committee will not be considered for a position on the Board of Directors during their year of service.
7. The person selected as the Chair of the Nominating Committee must be a carry-over member, but not necessarily a NAESP State Representative. The Committee Chair will be elected during this selection process. It is recommended that an Alternate Chair also be elected at this time. The Chair will be identified on committee rosters prior to its official meeting.
8. Members of the Board of Directors are ineligible to serve as members of the Nominating Committee.
9. Members of other NAESP standing or governance committees are ineligible to serve as members of the Nominating Committee.

Policy Statement 400.4 Selection of the Nominating Committee (Cont.)

10. The names on the members of the Nominating Committee shall be published at least sixty (60) days prior to the meeting of the Committee, except when the process for election of the Vice President is initiated due to a vacancy in the office of the Vice President before the ordinary expiration of the Vice President's term and, in that case, the names of the members of the Nominating Committee shall be published as soon as possible after the President has instructed the Executive Director to initiate the process for electing a Vice President.

Procedures

1. The meeting of the NAESP State Representatives shall be chaired by the NAESP President (who will not be the Chair or a member of the Nominating Committee). The NAESP President-Elect will assist the President by recording decisions and ensuring that procedures for established representation are followed. This process enables the NAESP President to be more familiar with this process when serving as Chair. No NAESP staff member or others who are not NAESP State Representatives are allowed in this meeting.
2. The Chair (President) shall draw for the order in which the zones will draw the selection number.
3. Each zone will then draw a number to determine the order of nomination to the Committee.
4. The NAESP State Representatives from a particular zone vote to select a Committee member from that zone who must be a member from that zone.
5. Alternates should fit the same category as the original nominee wherever possible, although the following exceptions appear to guarantee the representation required by policy:
 - a) Alternates for carry-over members should be the same sex or ethnic representation but do not have to be carry-over unless the original nominee is the only carry-over nominated.
 - b) Alternates for State Representatives should be the same sex or ethnic representation but do not have to be State Representatives (as such representation is not required).
 - c) Alternates for ethnic representatives or other categories can be either sex unless the original nominee is the only male or female representative nominated.
6. Zones may caucus before, during, or after their original nominations.
7. In voting for the Chair and Alternate Chair of the Nominating Committee, there shall be one vote per zone (not state) with a simple majority required for election.
8. Addresses and telephone numbers shall be provided for both the committee member and the alternate.

Policy Statement 400.4 Selection of the Nominating Committee (Cont.)

9. The Chair (President) shall report the results of the election to the Executive Director for publication.

Authority Level

Action

President

Presides over the selection meeting and reports results to the Executive Director

NAESP State Representatives

Elect the Nominating Committee and its Chair

Executive Director

Publishes the names of the Nominating Committee at least sixty days prior to its meeting, unless there will be a special election due to a vacancy in the office of the Vice President.

COMMITTEES

Policy Statement 400.5 Guidelines for the NAESP Nominating Committee

The process by which candidates are nominated for election to office in NAESP is intended to assure NAESP members of three essential elements: nomination of the best qualified on-line principals and assistant principals as candidates, representation of minorities among the officers of the Association, and a fair and open nomination process.

Scope of Policy

The assurances of the policy are guaranteed through: (a) a full review of data submitted by candidates and of criteria for candidates, (b) a specified category year for the office of Vice President, and (c) committee procedures. Chief consideration at all times shall be given to the qualifications of each individual. For the office of Vice President, the individuals must be within the specified category according to the Guidelines.

Guidelines for Implementation

1. The Committee shall use all available data in the determination of which candidates shall be selected for the ballot for Vice President. Criteria to be included in such consideration are:
 - A. Regular membership (active, life, emeritus) in NAESP. The number of years of membership service should also be considered.
 - B. On-line principal or assistant principal, which is defined as an individual assigned to a specific school as a principal or assistant principal who is responsible for the supervision and evaluation of teachers and is responsible for children in that school.
 - C. Demonstrated interest and leadership in professional association activities.
2. In order to assure representation of ethnic minorities in the office of Vice President, the following process is established:
 - A. Ethnic Minority. If no member of an ethnic minority has been elected to the office Vice President for five (5) consecutive years, in the sixth year, the election for office of the Vice President will be a special category year for ethnic minority members. The five-year cycle for the special category year will start over at zero when either a special category year occurs or an ethnic minority member is elected to the office of Vice President. Five-year cycles will be measured from 2013 as year one.
 - B. Ethnic minority candidates shall submit their Prospective Candidate Data Forms so they arrive at NAESP headquarters no later than October 1. If by October 1 of the year preceding the special category year, no ethnic minority candidate or only one ethnic minority candidate has submitted a Prospective Candidate Data Form for that special

category, then the deadline will be extended to November 1. If by November 1, no ethnic minority candidate or only one ethnic minority candidate has submitted a Prospective Candidate Data Form, then the deadline will be extended to December 1 and declared open.

C. If any special category year becomes open, state leaders will be so notified and urged to seek potential candidates, who will have until January 1 to submit their Prospective Candidate Data Forms.

3. Previous candidates who were not selected by a prior Nominating Committee may submit a letter to the chair of the Nominating Committee (with a copy to the Executive Director) reinstating their candidacy and updating their materials. Prior candidates shall not be considered as active candidates unless such a written request is submitted.

Procedures

1. Each year the President shall notify the Nominating Committee of the rotation schedule for the office of Vice President, including all nomination policies and procedures.
2. The Nominating Committee shall carefully consider all guidelines and established nomination criteria in its review of prospective candidate data and materials and in its selection of two candidates for Vice President.
3. Persons who serve on the Nominating Committee shall not be considered for a position on the Board of Directors during the year of service on the Nominating Committee.
4. Between the time of election to the Nominating Committee and the time of the Nominating Committee meeting, members of the Committee shall not endorse, either in writing or otherwise, any potential candidate.
5. When the Nominating Committee convenes, it shall first discuss and reach agreement on the process to be used for selecting the candidates for Vice President. The selection process criteria for Vice Presidential candidates must include all categories listed on the Prospective Candidate Data Form with the addition of "Communication Skills." All candidates' credentials, by position, must be reviewed prior to implementing the process of selection.
6. The Chair of the Nominating Committee will determine the questions to be asked of the nominees in their live electronic interview.
7. The Chair of the Nominating Committee shall work in advance with the Committee to reach a consensus of the three questions to be asked of each nominee. The nominees shall be notified in advance of two of the three questions; however, the third question will be asked to elicit a spontaneous response during each nominee's interview.
8. As soon as possible after the Nominating Committee has selected the nominees for the Vice Presidential election, the Chair of the Nominating Committee shall report the selected nominees to the NAESP President and Executive Director.

9. Upon confirmation by the President and the Executive Director of adherence to the guidelines, the Nominating Committee Chair shall cause the nominees to be notified by telephone and in writing of their selection. Candidates not nominated will be similarly notified.
10. If the President and the Executive Director determine that the guidelines have not been followed, the President will so notify the Nominating Committee's Chair and direct the Nominating Committee to reconvene to prepare a slate of nominees that does conform to the guidelines.
11. Upon the Chair's receipt of a notice from the President as specified in Procedural Step No. 8, above, the Chair shall reconvene the Nominating Committee as soon as possible. Following the preparation of a new slate of nominees, the Chairman of the Nominating Committee shall once again commence the review process initiated in Procedural Step No. 5, above, and the process will continue again through Procedural Step Nos. 5, 6, 7 and 8, above, before proceeding to Procedure Step No. 10, below.
12. The report of the Nominating Committee shall be submitted to the Executive Director, who shall direct the preparation of appropriate publicity and the ballots.
13. In the event one of the candidates for Vice President drops out, for any reason, following selection by the Nominating Committee, the Nominating Committee will reconvene by conference call and identify a second candidate. In extenuating circumstances, the Board of Directors may change the deadline dates set for the balloting process to accommodate this situation.
14. In the event both candidates for Vice President drop out before the election, the Nominating Committee will reconvene by conference call and identify two new candidates. If there is a vacancy in the office of Vice President, the Board will follow the vacancy process stated in the NAESP Bylaws.
15. Any candidate who drops out before the election, as stated above, should inform, in writing if possible, the NAESP Executive Director, who will in turn notify the Chair of the Nominating Committee and the NAESP President. The Chair of the Nominating Committee will telephone the candidate to confirm his/her action whether their notification was in writing or by telephone.

Authority Level

As specified.

Action

As stated above

COMMITTEES

Policy Statement 400.6 Resolutions Committee

The Resolutions Committee shall consist of the Vice President as Chair and one member from each zone, who shall be appointed by the President for three-year terms. An appointee may only serve for one term. Three members and their alternates shall be appointed each year by the President. The alternates shall serve the same term as each appointed member from that zone and shall not have served in prior years on the Resolutions Committee. All zones shall be represented on this Committee.

The Resolutions Committee shall encourage members to initiate resolutions. It shall review resolutions for updating the platform, recommend changes, if any, and submit them to the NAESP Board of Directors. The Board of Directors may consider the proposed resolutions and shall inform the General Assembly of the resolutions and the Board's actions.

Scope of Policy

Defines the composition, powers, and duties of the Resolutions Committee.

Guidelines for Implementation

It is the responsibility of the Resolutions Committee to:

1. Review the entire Platform for any necessary revisions or deletions.
2. Review resolutions submitted through the solicitation process.
3. Develop new resolutions to be presented to the Board of Directors.
4. Prepare or refine a rationale for each new resolution, including its impact on the current Platform.
5. Identify the impact on the current Platform of proposed resolutions, specifically whether they: (1) address a totally new issue, (2) constitute a change in philosophy or intent, or (3) further support or describe a previous plank in the Platform.
6. Specify deletions to be made in the Platform and prepare a rationale for each.
7. Work with Designated NAESP Staff to develop and electronic document containing the proposed resolutions, deletions, and rational.
8. Present the proposed resolutions and deletions to the Board of Directors.

Procedures

Not later than July 30 each year, the President shall appoint members to the Resolutions Committee for three years terms, and alternates, to fill the expiring terms of existing Committee members and alternates. The President shall also appoint members and alternates to fill the remainder of any unexpired terms for Committee seats that are vacant.

Resolutions are solicited from members, states, zones and committees. All proposed resolutions must be received by the Resolutions Committee no later than October 30.

Resolutions proposed to the Resolutions Committee will be electronically provided to the membership through a regular or special publication no later than 30 days prior to the Winter Board Meeting.

The Resolutions Committee will review proposed resolutions during a widely publicized conference call open hearing of the Resolutions Committee. Any NAESP member may join the conference call open hearing and seek to modify any proposed resolution. The following procedures for amending and approving the proposed NAESP resolutions will be strictly observed:

Members of the Resolutions Committee will review the proposed resolutions singularly and request suggestions for modifications. Any NAESP member may propose changes to Committee resolutions either verbally during the call or prior to the call in writing. No changes will be considered that have not been presented during this conference call open hearing. During or after the conference call open hearing, the Resolutions Committee may recommend changes to the resolutions and shall then submit the resolutions and the proposed and recommended changes to the NAESP Board of Directors no later than 15 days prior to the Winter Board of Directors Meeting.

During the call any NAESP member may request individual notification from the Resolutions Committee to learn the decision of the Committee on proposed changes that were presented during the conference call open hearing. If the requested change is accepted by the Committee, no further action by the member is necessary. If the Committee declines to sponsor the requested change and the member wishes the Board of Directors may consider that change.

<u>Authority Level</u>	<u>Action</u>
President	Appoints Committee members and alternates to fill the seats of the members and alternates whose terms are expiring and also the open seats on the Committee.
Resolutions Committee	As stated above.
NAESP Designated Staff	Provide legislative information and administrative support for Resolutions Committee work.

COMMITTEES

Policy Statement 400.7 Membership Committee

The Membership Committee shall consist of the President-elect as chair and one member from each zone, who shall be appointed by the President for three-year terms. The President shall appoint alternates as needed, serving the same term as each appointed member from that zone.

The Membership Committee shall: encourage recruitment and retention of members; review membership categories and related member benefits and services; and perform other duties assigned by the NAESP Board of Directors.

Scope of Policy

Defines the composition, powers and duties of the Membership Committee.

Guidelines for Implementation

It is the responsibility of the Membership Committee to:

1. Encourage recruitment and retention of members.
2. Review membership categories.
3. Review member benefits and services.
4. Perform such other duties as are assigned to it by the NAESP Board of Directors.

Procedures

1. Not later than July 15 each year, the President shall appoint zone members to the Membership Committee for three-year terms to fill the expiring terms of existing Committee members. The President, may also appoint alternates from the same zones, to the same three-year terms. The President shall also appoint members and alternates to fill the remainder of any unexpired terms for Committee seats that are vacant.

2. Otherwise as stated in the Guidelines for Implementation.

Authority Level

Action

President

Appoint Committee members and alternates to fill the seats of the members and alternates whose terms are expiring and also to the open seats on the Committee.

Membership Committee

As stated above.

COMMITTEES

Policy Statement 400.8 Special Committees

The Association shall provide for special concerns through committees as deemed necessary by the Board of Directors.

Scope of Policy

Authorize the Board of Directors to establish special committees.

Guidelines for Implementation

Decisions governing the work of the Special Committees will include the following:

1. Specific objectives of the committee.
2. Period of time the committee is to operate, such decision being subject to later review by the Board of Directors.
3. The relationship of the staff to the special committee.
4. The relationship of the Board of Directors to the special committee.
5. Suggestions as to the number of committee meetings to be held, in keeping with the objectives and with available funds.
6. Determination as to where the committee meetings shall be held. It is recommended that committee meetings be held at the headquarters office unless there is some special reason for a meeting to be held elsewhere. A decision to hold a meeting at some place other than the headquarters office should be the joint responsibility of the President (ex-officio member of the committee), the committee chair, and the Executive Director.
7. If the majority of the members of a special committee is in attendance at the Conference, an official meeting may be called and held.

Procedures

See guidelines above.

Authority Level

Board of Directors

Action

As stated above

FINANCES

Policy Statement 500.1 NAESP Budget

An annual budget shall be prepared by the Executive Director for consideration and adoption by the Board of Directors.

Scope of Policy

Describes the budget development process.

Guidelines for Implementation

The Executive Director shall prepare and present an annual budget to the Board of Directors for approval prior to the end of each fiscal year. The Board of Directors shall adopt a budget for the coming fiscal year.

Procedures

See the Guidelines above.

Authority Level

Action

Executive Director

Prepare and present a budget annually to the Board of Directors.

Board of Directors
President

Receive, review and adopt the Association's annual budget.
Inform the General Assembly annually on the status of the Association's budget.

FINANCES

Policy Statement 500.2 Financial Statements

The Executive Director shall present financial statements and financial information to the Board of Directors.

Scope of Policy

Requires the Executive Director to present financial statements to the Board of Directors.

Guidelines for Implementation

The Executive Director shall present periodic financial statements supplemented as needed with other financial information such as investments, cash flow position, auditor's report, etc. to the Board of Directors. Financial statements shall be given to the Board of Directors as often as needed, but no less than each time the Board holds a regular meeting.

Annually, the Executive Director shall present to the Board of Directors the auditor's report and other appropriate financial reports.

The individual members of the Board of Directors shall review the financial statements and financial information which the Executive Director presents to them. The Board of Directors shall review the financial statements and financial information during each regular meeting of the board.

Procedures

Self-explanatory.

Authority Level

Executive Director

Action

Present periodic financial statements to the Board of Directors.

Present annually to the Board the auditor's report.

Issue checks, drafts, notes, orders or receipts on behalf of the Association in accordance with established Association policies and procedures.

Policy Statement 500.2 Financial Statements (Cont.)

Board of Directors

Review and approve financial statements during each regular meeting of the Board.

Designates official bank for the Association.

Authorizes NAESP staff members to issue checks, drafts, notes, orders or receipts on behalf of the Association in accordance with established Association policies and procedures (Board Policy 100.14).

Reviews the financial statements and financial information during at least one meeting each year.

FINANCES

Policy Statement 500.3 Expenses Paid by the Association

Persons attending a meeting at NAESP expense are expected to attend and participate in all appropriate, scheduled activities for the full duration of the meetings. Emergencies or brief absences necessitated by travel schedules should be cleared with NAESP Executive Director or his/her designee. Otherwise, failure to attend the entire meeting will result in proration of reimbursement of expenses commensurate with actual attendance. Proration shall affect transportation expenses as well as the per diem allotment. Decisions to prorate or reduce expenses paid to a Director shall be made by the Executive Director. The guidelines, listed below, govern NAESP-related travel and expenses.

Scope of Policy

Defines the reimbursement requirements for expenses of persons while on NAESP business.

Guidelines for Implementation

1. AIR TRAVEL

Reimbursement is limited to economy coach air fare. Reservations should be made early; super saver or other excursion rates should be requested. All receipts and ticket stubs must be attached to the expense voucher.

2. AUTOMOBILE

Reimbursement will be made at the mileage reimbursement rate published annually by the IRS, plus toll charges; however, reimbursement will be the cost of round-trip economy coach air fare or actual mileage, whichever is less.

3. TAXI, LIMOUSINE, BUSES, BAGGAGE TIPS, PARKING

Usual expenses for these services will be reimbursed. Any unusual expense should be explained.

4. HOTEL

Rate for single room or actual cost, whichever is less, will be reimbursed. Any greater amount will be disallowed. If arrival is earlier or departure later than necessary for the specific assignment, except in unusual circumstances, the additional cost will not be reimbursed. The hotel receipt must accompany an expense voucher.

Policy Statement 500.3 Expenses Paid by the Association (Cont.)

5. PER DIEM

Reimbursement for meals will be made on a per diem base of \$64 to the nearest half-day.

6. INSURANCE

The Association will purchase life insurance coverage in the amount of: (1) \$300,000 for each accidental death of a Board member or the Executive Director; (2) \$300,000 for each accidental death of a Committee member or an NAESP guest; and (3) \$100,000 for each accidental death of other NAESP full-time and salaried staff employees. The Association will purchase medical insurance in the amount of \$5,000 to cover the medical expenses of persons traveling on official business at the invitation and expense of the NAESP.

7. OTHER

Questions involving unusual or substantial expenditures should be reviewed in advance with the Executive Director.

Procedures

See guidelines above.

Authority Level

Action

Executive Director
or his/her designee

Clear emergencies or brief absences, necessitated by travel schedules, of persons attending a meeting at NAESP expense.

Review and approve all travel advance requests and travel reimbursement forms; resolve all discrepancies.

Traveler

May request an advance to cover estimated travel expenses by submitting a travel advance request form at least ten business days prior to expected travel.

File Travel and Expense Voucher provided by NAESP within thirty days after the completion of the NAESP-related travel; attach receipts for hotels, transportation and any other covered expenses; include on the face of the Expense Voucher any advance made prior to the meeting; send the original to the Association and keep the duplicate for your files.

FINANCES

Policy Statement 500.4 Loans from Association Funds

No loans shall be granted from Association funds without approval of the Board of Directors. The Board of Directors will consider making a loan only in the most extraordinary circumstances.

Scope of Policy

Requires approval of the Board of Directors for the granting of loans.

Guidelines

Self-explanatory.

Procedures

Self-explanatory.

Authority Level

Board of Directors

Action

Must approve all loans from Association funds.

FINANCES

Policy Statement 500.5 Investment and Spending Guidelines

The Investment Policy Statement contains the spending guidelines which reflect the policy, objectives, and constraints of the NAESP Reserves, and is approved and amended periodically by the NAESP Board of Directors.

The Board of Directors shall review the financial statements and reports about the NAESP Reserves during each of its regular meetings.

Scope of Policy

Identifies the current purpose and investment policy philosophy for guiding the management of Association assets toward desired results.

Guidelines for Implementation

Specified in the Investment Policy Statement.

Procedures

Specified in the Investment Policy Statement.

Authority Level

Action

NAESP Board of the Reserve

As defined in the Investment Policy Statement.

Finance Committee (Officers of the Board of Directors)

As defined in the Investment Policy Statement.

Executive Director

As defined in the Investment Policy Statement.

Investment Management Consultant,
Investment Manager, Custodian, and others

As defined in the Investment Policy Statement.

FINANCES

POLICY STATEMENT 500.5 INVESTMENT AND SPENDING GUIDELINES (CONT.)

NAESP INVESTMENT POLICY STATEMENT

(Last Modified in May 2012)

Executive Summary

Name of institution	National Association of Elementary School Principals (NAESP)			
Name of accounts	Short Term Reserve; Long Term Reserve; Endowment			
Portfolio target	Short term: Target \$250k average monthly balance Long term: Target one-half of the annual operating budget Endowment: Corpus \$1.250M			
Portfolio time horizon	Perpetuity			
Primary investment profile	Short term: Very Conservative Long term: Moderate Conservative Endowment: Moderate			
Target asset allocation	Short term: 90% Fixed Income; 10% Cash Long term: 37% Equities; 61% Fixed Income; 2% Cash Endowment: 52% Equities; 46% Fixed Income; 2% Cash			
Expected investment returns	Short term: return equal to T-Bill (90 Day) Long term: net return in excess of market index by 1.00% Endowment: net return in excess of market index by 1.00%			
Evaluation benchmark	Reserve Account	Short Term	Long Term	Endowment
	Russell 1000		18%	26%
	Russell 2000		7%	9%
	NAREIT (EQ)		1%	2%
	MSCI EAFE		11%	15%
	LB Aggregate	90.0%	51%	36%
	SSB World Gov Bond		10%	10%
	T-Bill (90 Day)	10.0%	2%	2%

Section 1 - Introduction & Purpose

This statement of investment policy is set forth by the NAESP Board to reflect the investment policy, objectives, and constraints of the Reserves. These investment and spending guidelines (“guidelines”) are approved by the Board of Directors of the National Association of Elementary School Principals (“NAESP Board of Directors”). The National Association of Elementary School Principals is referred to herein as the “Association”. From time to time, the NAESP Board of Directors may amend these guidelines or approve specific exceptions due to market conditions.

In order to implement these guidelines, a Finance Committee shall be created (“Finance Committee”) and its members shall be the officers of the NAESP Board of Directors. The immediate past president of NAESP shall serve as the Chair of the Finance Committee. The executive director of the National Association of Elementary School Principals (“Association’s executive director”) shall be responsible for executing the decisions of the Finance Committee and for providing staff support to the Finance Committee. The Finance Committee may from time to time delegate its duties to the Association’s executive director. The Finance Committee shall report to the NAESP Association’s Board of Directors at their regularly scheduled meetings. The Finance Committee and the Association’s executive director, as they deem necessary, may from time to time retain consultants as investment advisors.

In general, the purpose of this statement is to outline a philosophy and attitude which will guide the investment management of assets toward the desired results. It is intended to be sufficiently specific to be meaningful, yet flexible enough to be practical.

The investment policy statement (IPS) consists of the following sections:

Section 1 - Introduction & Purpose.....12

Section 2 - Assignment of Responsibility14

Section 3 - Investment Objectives 5

Section 4 - Asset Allocation..... 7

Section 5 - Investment Guidelines..... 8

Section 6 - Rebalancing Strategies 9

Section 7 - Spending Policy10

Section 8 - Definitions of Benchmarks 211

The NAESP Board of the NAESP Reserve is a fiduciary, and is responsible for directing and monitoring the investment management of Reserve assets. As such, the NAESP Board is authorized to delegate certain responsibilities to professional experts in various fields. These include, but are not limited to:

Investment Management Consultant

The consultant may assist the NAESP Board in: establishing investment policy, objectives and guidelines; selecting investment managers; reviewing such managers over time; measuring and evaluating investment performance; and other tasks as deemed appropriate.

Investment Manager

The investment manager has discretion to purchase, sell, or hold the specific securities that will be used to meet the Reserve’s investment objectives.

Custodian

The custodian will physically maintain possession of securities owned by NAESP, collect dividend and interest payments, redeem maturing securities, and effect receipt and delivery following purchases and sales. The custodian may also perform regular accounting of all assets owned, purchased, or sold as well as movement of assets into and out of the Reserve accounts.

Additional Parties

Additional specialists such as attorneys, auditors and others may be employed by the NAESP Board to assist in meeting its responsibilities and obligations to administer the Reserve assets prudently.

The NAESP Board will not Reserve any control over investment decisions, with the exception of specific limitations described in these statements. Managers will be held responsible and accountable to achieve the objectives herein

stated. While it is not believed that the limitations will hamper investment managers, each manager should request modifications which they deem appropriate.

Definitions

- *Reserve* shall mean all NAESP Reserve accounts.
- *NAESP Board* shall refer to the governing board established to administer the Reserve accounts as specified by applicable ordinance.
- *Fiduciary* shall mean any individual or group of individuals that exercise discretionary authority or control over fund management or any authority or control over management, disposition or administration of the Reserve assets.
- *Investment Manager* shall mean any individual, or group of individuals, employed to manage the investments of all or part of the Reserve assets.
- *Investment Manager Consultant* shall mean any individual or organization employed to provide advisory services, including advice on investment objectives and/or asset allocation, manager search, and performance monitoring.
- *Securities* shall refer to marketable investment securities which are defined as acceptable in this statement.
- *Investment Horizon* shall be the time period over which the investment objectives, as set forth in this statement, are expected to be met.

Section 2 - Assignment of Responsibility

Responsibility of the NAESP Board of the Reserve

The NAESP Board is charged by law with the responsibility for the management of the assets of the Reserve. The NAESP Board shall discharge its duties solely in the interest of the Reserve, with the care, skill, prudence and diligence under the circumstances then prevailing, that a prudent man, acting in a like capacity and familiar with such matters would use in the conduct of an enterprise of a like character with like aims. The specific responsibilities of the NAESP Board relating to the investment management of Reserve assets include:

- Projecting the Reserve's financial needs, and communicating such needs to the Investment Managers on a timely basis.
- Determining the Reserve's risk tolerance and investment horizon, and communicating these to the appropriate parties.
- Establishing reasonable and consistent investment objectives, policies and guidelines which will direct the investment of the Reserve's assets.
- Prudently and diligently selecting qualified investment professionals, including Investment Managers, Investment Consultants, and Custodians.
- Regularly evaluating the performance of the Investment Managers to assure adherence to policy guidelines and monitor investment objective progress.
- Developing and enacting proper control procedures; i.e. replacing Investment Managers due to fundamental change in investment management process, or failure to comply with established guidelines.

Responsibility of the Investment Managers

Each Investment Manager will have full discretion to make all investment decisions for the assets placed under its jurisdiction, while observing and operating within all policies, guidelines, constraints, and philosophies as outlined in this statement. Specific responsibilities of the Investment Manager include:

- Discretionary investment management including decisions to buy, sell, or hold individual securities, and to alter asset allocation within the guidelines established in this statement.
- Reporting, on a timely basis, quarterly investment performance results.
- Communicating any major changes to economic outlook, investment strategy, or any other factors which affect implementation of investment process, or the investment objective progress of the Reserve's investment management.
- Informing the NAESP Board regarding any qualitative change to investment management organization: i.e. changes in portfolio management personnel, ownership changes, investment philosophy, etc.
- Voting proxies, if requested by the NAESP Board, on behalf of the Reserve, and communicating such voting records to the NAESP Board on a timely basis

Responsibility of the Investment Consultant

The Investment Consultant's role is that of a non-discretionary advisor to the NAESP Reserves. Investment advice concerning the investment management of Fund assets will be offered by the Investment Consultant, and will be consistent with the investment objectives, policies, guidelines, and constraints as established in this statement. Specific responsibilities of the Investment Consultant include:

- Assisting in the development and periodic review of investment policy.
- Conducting investment manager searches when requested by the NAESP Board.
- Providing "due diligence", or research, on the Investment Managers.
- Monitoring the performance of the Investment Managers to provide the NAESP Board with the ability to determine the progress toward the investment objectives.
- Communicating matters of policy, manager research, and manager performance to the NAESP Board.
- Reviewing Reserve investment history, historical capital markets performance and the contents of this investment policy statement to any newly appointed members of the NAESP Board.

Section 3 - Investment Objectives

General Investment Principles

- Investments shall be made solely in the interest of the beneficiaries of the Reserve.
- The Reserve shall be invested with the care, skill, prudence and diligence under the circumstances then prevailing, that a prudent man, acting in a like capacity and familiar with such matters would use in the conduct of an enterprise of a like character with like aims.
- Investment of the Reserve shall be so diversified as to minimize the risk of large losses, unless under the circumstances it is clearly prudent not to do so.
- The NAESP Board may employ one or more investment managers of varying styles and philosophies to attain the Reserve's objectives.
- Cash is to be employed productively at all times, by investment in short-term cash equivalents to provide safety, liquidity, and return.
- Consistent with their respective investment styles and philosophies, investment managers should make reasonable efforts to preserve capital, understanding that losses may occur in individual securities or pooled investments.
- Understanding that risk is present in all types of securities and investment styles, the NAESP Board recognizes that some risk is necessary to produce long-term investment results that are sufficient to meet the Reserve's objectives. However, the investment managers are to make reasonable efforts to control risks, and will be evaluated regularly to ensure that the risk assumed is commensurate with the given investment styles and objectives.
- Investment managers are expected to adhere to the investment management styles for which they were hired. Managers will be evaluated regularly for adherence to investment discipline.
- The short term Reserve funds shall be equal to \$250,000 average monthly balance
- The long term Reserve funds goal is equal to no less than one-half of the Association's annual operation expense for the then previous fiscal year. The long term Reserve fund is \$200,000 with \$200,000 annual contributions planned for future years from operating funds until the goal is obtained. (see Appendix A for historical reference)
- The endowment fund shall be equal to \$1,250,000 which represents the partial sale of NAESP headquarters space November 2011.

Specific Investment Strategies and Goals

Short term: return equal to T-Bill (90 Day)

Long term: net return in excess of market index by 1.00%

Endowment: net return in excess of market index by 1.00%

The investment goal(s) above are the objectives of the individual Reserve Accounts. The goal of each investment manager, over the investment horizon, shall be to:

- Meet or exceed the market index, or blended market index, selected and agreed upon by the NAESP Board that most closely corresponds to the style of investment management. The list of selected benchmarks is displayed in Appendix A of this statement.
- Display an overall level of risk in the portfolio which is consistent with the risk associated with the benchmark specified above. Risk will be measured by the standard deviation of annual returns.

Specific investment goals and constraints for each investment manager, if any, shall be incorporated as part of this statement of investment policy. Each manager shall receive a written statement outlining his specific goals and constraints as they differ from those objectives of the entire Reserve.

Risk & Liquidity

Definition of Risk

The NAESP Board realizes that there are many ways to define risk. It believes that any person or organization involved in the process of managing the NAESP Reserve assets understands how it defines risk so that the assets are managed in a manner consistent with the Reserve's objectives and investment strategy as designed in this statement of investment policy. The NAESP Board defines risk as the probability of not meeting the fund's liabilities or cash flow requirements.

Liquidity Requirements

To minimize the possibility of a loss occasioned by the sale of a security forced by the need to meet a required payment, the NAESP Board will periodically provide investment counsel with an estimate of expected net cash flow. The NAESP Board will notify the investment consultant in a timely manner, to allow sufficient time to build up necessary liquid Reserves.

To maintain the ability to deal with unexpected cash requirements that might arise, the NAESP Board requires that a minimum of 2.00% of Reserve assets shall be maintained in cash or cash equivalents, including money market funds or short-term U.S. Treasury securities.

After giving consideration to the Reserve's longer-term objectives and liquidity requirements, the NAESP Board requires at least 90.00% of Reserve assets be invested in liquid securities, defined as securities that can be transacted quickly and efficiently for the Reserve, with a minimal impact on market price.

Diversification of Investment Managers

The NAESP Board does not believe it is necessary or desirable that securities held in the Reserve represent a cross section of the economy. However, in order to achieve a prudent level of portfolio diversification:

- the securities of any one company or government agency should not exceed 5.00% of the total Reserve.
- there is no required level of diversification for industries.
- there is no required level of diversification for individual Treasury securities.
- there is no required level of diversification for total allocation to Treasury securities.

Guidelines for Fixed Income Investments and Cash Equivalents

Reserve assets invested in fixed income individual securities may be invested only in fixed income securities rated A1/A+ (Moody's/Standard & Poors) or better.

Money market funds selected shall contain securities whose credit rating at the absolute minimum would be rated investment grade (BBB- by Standard & Poors or Baa3 by Moody's).

Section 4 - Asset Allocation

Investment management of assets of the NAESP Reserve shall be in accordance with the following asset allocation guidelines (at market value):

Short Term Reserve Asset Allocation Guidelines

<u>Asset Sub-Class</u>	<u>Minimum</u>	<u>Target</u>	<u>Maximum</u>	<u>Benchmark</u>
Cash Equivalents	10.0%	10.0%	100.0%	T-Bill (90 Day)
US Fixed Income	10.0%	90.0%	90.0%	T-Bill (90 Day)

Long Term Reserve Asset Allocation Guidelines

<u>Asset Sub-Class</u>	<u>Minimum</u>	<u>Target</u>	<u>Maximum</u>	<u>Benchmark</u>
Large Cap Equities	10.0%	18.0%	35.0%	Russell 1000
Small/Mid Equities	5.0%	7.0%	20.0%	Russell 2000
REITs	.0%	1.0%	10.0%	NAREIT (EQ)
Non-US Equities	5.0%	11.0%	15.0%	MSCI EAFE
US Fixed Income	35.0%	51.0%	65.0%	LB Aggregate
Non-US Fixed Income	0.0%	10.0%	20.0%	SSB World Gov Bond
Cash Equivalents	2.0%	2.0%	10.0%	T-Bill (90 Day)

Endowment Asset Allocation Guidelines

<u>Asset Sub-Class</u>	<u>Minimum</u>	<u>Target</u>	<u>Maximum</u>	<u>Benchmark</u>
Large Cap Equities	10.0%	26.0%	35.0%	Russell 1000
Small/Mid Equities	5.0%	9.0%	20.0%	Russell 2000
REITs	0.0%	2.0%	15.0%	NAREIT (EQ)
Non-US Equities	5.0%	15.0%	15.0%	MSCI EAFE
US Fixed Income	35.0%	36.0%	65.0%	LB Aggregate
Non-US Fixed Income	0.0%	10.0%	0.0%	SSB World Gov Bond
Cash Equivalents	2.0%	2.0%	10.0%	T-Bill (90 Day)

The NAESP Board may employ investment managers whose investment disciplines require investment outside the established asset allocation guidelines. However, taken as a component of the aggregate Reserve, such disciplines must fit within the overall asset allocation guidelines established in this statement. Such investment managers will receive written direction from the NAESP Board regarding specific objectives and guidelines.

In the event that the above aggregate asset allocation guidelines are violated, for reasons including but not limited to market price fluctuations, the NAESP Board will instruct the Investment Managers to bring the portfolios into compliance with these guidelines as promptly and prudently as possible.

In the event that any individual Investment Manager's portfolio is in violation with its specific guidelines, for reasons including but not limited to market price fluctuations, the NAESP Board expects that the Investment Manager will bring the portfolio into compliance with these guidelines as promptly and prudently as possible without instruction from the NAESP Board.

Section 5 - Investment Guidelines

Allowable Equity Securities

- Common and dividend producing stocks
- American Depositary Receipts (ADRs) of non-US corporations
- Convertible preferred stock
- Non-US common or preferred stock
- Mutual Funds which invest in securities as allowed in this statement
- Exchange Traded Funds or Index funds which invest in securities as allowed in this statement

Prohibited Equity Securities

-

Allowable Fixed Income Securities

- US Government & Agency securities
- Corporate notes & bonds
- Mortgage backed bonds
- Preferred stock
- Collateralized Mortgage Obligations (CMO's)
- Mutual funds which invest in securities as allowed in this statement
- Exchange Traded Funds or Index funds which invest in securities as allowed in this statement

Prohibited Fixed Income Securities

-

Allowable Cash Equivalent Securities

- Treasury bills
- Money market funds
- Commercial paper
- Banker's acceptances
- Repurchase agreements
- Certificates of deposit
- Stable Value Funds

Prohibited Cash Equivalent Securities

-

Allowable Other Securities

- Real estate investments
- Commodities

Prohibited Other Securities

- Limited partnerships
- Options
- Private placements
- Venture capital investments

Prohibited Transactions

- Short selling
- Margin

Section 6 - Rebalancing Strategies

It is expected that the Reserve actual asset allocation will vary from its target asset allocation as a result of the varying periodic returns earned on its investments in different asset and sub-asset classes. The Reserve will be rebalanced to its target asset allocation under the following procedures:

1. The consultant will use incoming cash flow or outgoing disbursement to realign the current weighting closer to the target weights for the Reserve.
2. The consultant will review the Reserve Funds coordinating with the regular scheduled board meetings and will meet annually with the full Board during their annual summer meeting. During each review, the following parameters will be applied:
 - a. If any asset class within the reserve is +/-5% percentage points from its target weighting, the Reserve will be rebalanced.
 - b. If any fund within the portfolio has increased or decreased by greater than 20% of its target weighing, the fund will be rebalanced.
3. The consultant may provide a rebalancing recommendation at any time
4. The consultant shall act within a reasonable period of time to evaluate deviation their ranges.

As a guideline, Short Term Reserve Funds are expected to be expended within 12 months.

The Long Term Reserve Funds places the highest emphasis on meeting its long-term strategic goals. Income available for spending is determined annually by the Board of Directors.

The Endowment Fund was created from the partial sale of NAESP's headquarters in November 2011. Since this is a newly created fund the Finance Committee will meet annually to review its mandate and disposition of income. The Finance Committee will seek Board Approval annually.

Section 8 - Definitions of Benchmarks

Russell 1000

A domestic equity benchmark that measures the performance of the 1,000 largest companies in the Russell 3000 Index, and represents approximately 92% of the total market capitalization of the Russell 3000 Index. As of the latest reconstitution, the average market capitalization

Russell 2000

A domestic equity benchmark that measures the performance of the 2,000 smallest companies in the Russell 3000 Index, which represents approximately 8% of the total market capitalization of the Russell 3000 Index. As of the latest reconstitution, the average market capitalization.

REITS

Equity REITs invest in and own properties (thus responsible for the equity or value of their real estate assets). Their revenues come principally from their properties' rents.

MSCI EAFE

A market capitalization weighted equity index composed of companies representative of the market structure of 20 Developed Market countries in Europe, Asia (including Australia) and the Far East.

LB Aggregate

A fixed income benchmark composed of securities from the Lehman Brothers Government/Corporate Bond Index (investment grade bonds with maturities greater than 1 year), Mortgage-Backed Securities Index (fixed-rate securitized mortgage pools by GNMA, FNMA and the FHLMC), and the Asset-Backed Securities Index (credit card, auto and home equity loans). Total return comprises price appreciation/depreciation and income as a percentage of the original investment.

T-Bill (90 Day)

A fixed income benchmark composed of 3-month United States Treasury Bills purchased at the beginning of each of three consecutive months.

Approved by: The National Association of Elementary School Principals' Board of Directors on **March 20, 2012**.

NAESP ANNUAL CONFERENCE

Policy Statement 600.1 Planning National Annual Conference

The NAESP Annual Conference is considered a significant professional development opportunity for elementary and middle level principals in the nation, providing participants a unique opportunity to enhance their leadership skills through a variety of workshops and presentations on issues crucially important to education.

Details of the Annual Conference shall be developed and implemented by the staff of NAESP as approved by the NAESP Executive Director. Ideas for content and for various kinds of programs should be obtained from as many relevant sources as possible.

Provision should be made for as broad participation in the Annual Conference as is consistent with a good program, bringing in new participants each year as well as repeaters when their services are warranted.

Scope of Policy

Identifies the persons and procedures for Conference planning.

Guidelines for Implementation

The Executive Director shall make recommendations for the theme of the Annual Conference and implement Annual Conference activities.

Key Conference leaders shall be selected by the Executive Director with recommendations from the Board of Directors, NAESP State Representatives, Presidents of state elementary school principals' associations, and others.

Many people who have leadership roles in the Annual Conference program will be elementary or middle level principals and other members of the Association, but people outside the Association membership should be given assignments on the program in accordance with the services needed.

The Executive Director may invite the elementary or middle level principals in the area where the Annual Conference is held to organize a local arrangements committee to assist with conference details such as: setting up and staffing hospitality centers, providing ushers for general sessions, helping to make arrangements for music and for other entertainment, planning for visits to schools.

Procedures

See guidelines above.

Policy Statement 600.1 Planning National Conference (Cont.)

<u>Authority Level</u>	<u>Action</u>
President	Approve the theme of the Annual Conference upon recommendation of the Executive Director.
Executive Director	Make recommendations for the theme of the Annual Conference, subject to approval of the President, and implement Annual Conference activities. May invite local principals at site of Annual Conference to serve on local arrangement committees.

NAESP ANNUAL CONFERENCE

Policy Statement 600.2 Locations and Dates for NAESP's Annual Conference

Selection of the dates and the locations for the NAESP's Annual Conference shall be made by the Executive Director subject to the approval of the Board of Directors. Information needed for making decisions shall be provided by NAESP staff.

Scope of Policy

The following factors shall be taken into consideration in determining the locations and dates for NAESP's Annual Conference:

1. Information as to the desire of the local and state groups to have the Annual Conference at the site under consideration.
2. Information on facilities - number of hotel rooms that will be guaranteed, space for general sessions, space for exhibits, location of available space for meetings and exhibits, space for smaller meetings.
3. Costs for hotel rooms, for meeting room space, for exhibit space, for services required to operate the Annual Conference, etc.
4. The capacity, quality and attractiveness of the available conference, meeting and hotel facilities.
5. Information on accessibility of housing accommodations and restaurants to all participants.
6. Feasibility of site to attract significant number of members based on marketing research and analysis.

Guidelines for Implementation

1. DATES

Ideally, NAESP's Annual Conference should be scheduled for dates that are preferable to NAESP members. The dates, to the extent possible, should not conflict with Federal or Religious Holidays; other educational meetings should be taken into consideration to the extent possible.

2. LOCATION

The site should be an attractive one that members would like to visit and can accommodate the Association's conference needs. NAESP's Annual Conference city should be easily accessible, with adequate transportation facilities.

Policy Statement 600.2 Locations and Dates for NAESP's Annual Conference (Cont.)

Procedures

See the Guidelines above.

Authority Level

Action

Executive Director

Select the dates and locations for NAESP's Annual Conference subject to the approval of the Board of Directors.

Board of Directors

Approve dates and locations for NAESP's Annual Conference.

NAESP Staff

Provide information needed for making decisions regarding locations and dates of NAESP's Annual Conference.

NAESP ANNUAL CONFERENCE

Policy Statement 600.3 "Special Recognition" Requests

The Executive Director shall make decisions regarding special recognition requests.

Scope of Policy

Provides an opportunity for special recognition requests to be included at the conference.

Guidelines for Implementation

Periodically, requests are received for time within the period of NAESP's Annual Conference for special recognition of some member or members of the group, e.g., a tribute to the President by the conference participants from his/her state or a tribute to an incoming President by a comparable group. The Board of Directors authorizes the Executive Director to accommodate such requests. If a request seems unreasonable, the Executive Director will seek approval from the Board of Directors.

Procedures

See guidelines above.

Authority Level

Action

Executive Director

Accommodate requests for "special recognition" at NAESP's Annual Conference as specified above.

Board of Directors

Review and approve or deny requests as stipulated above if the Executive Director deems the request(s) unreasonable.

CONFERENCE NAESP ANNUAL CONFERENCE

Policy Statement 600.4 Distribution of Materials by States

NAESP-affiliated state associations shall be held liable for damages resulting from materials distributed at their state booths during NAESP's Annual Conference and Exposition.

Scope of Policy

Defines liability for damages resulting from materials distributed at state booths.

Guidelines for Implementation

The Association can be held liable for damages caused by tape, adhesives, or other "stick-on" materials used during the conference. In an extreme case, NAESP could be forced to pay for repainting or repapering an area damaged by the use or removal of such materials.

Therefore, NAESP-affiliated state associations are urged to exercise judgment and caution in the use or distribution of posters, label tags, or other items which could adhere to a wall or floor and cause property damage. If such damage results, the offending state association is liable.

Materials used on the drapes within the state booth are not in violation of this policy; however, materials distributed from the state booth must be non-adhesive.

NAESP-affiliated state associations should be aware that conference centers and most hotels require that all materials displayed must be fire proof or be treated to meet fire codes.

Any NAESP-affiliated state association violating this policy is liable for any damages resulting from such violation.

Procedures

See guidelines above.

Authority Level

As stated above.

Action

As stated above.

SPECIAL AWARDS RECOGNITION

Policy Statement 600.5 Special Awards Recognition

The Board of Directors may establish a special awards recognition program.

Scope of Policy

Individuals who have made outstanding contributions to the field of education and/or children and youth may be chosen for special awards in accordance with criteria approved by the Board of Directors.

Guidelines for Implementation

The Board of Directors may establish special awards and approve recipients of those awards, and determine when and where special awards are presented.

Types of awards will be selected by NAESP staff.

Procedures

See guidelines above.

Authority Level

Action

Board of Directors

May establish a special award.

Approves recipients of special awards.

Staff

Selects the type of award to be given.

NAESP NATIONAL CONFERENCE

Policy Statement 600.6 Recognition of NAESP Leaders

NAESP Past Presidents shall receive recognition at NAESP's Annual Conference.

Scope of Policy

Past Presidents shall be recognized through appropriate means.

Guidelines for Implementation

The Executive Director, in consultation with the President, shall determine the appropriate means of recognizing Past Presidents at the NAESP Annual Conference.

Procedures

See guidelines above.

Authority Level

Action

Executive Director and President

As Stated Above.

PERSONNEL ADMINISTRATION

Policy Statement 700.1 Personnel

The Executive Director, as chief executive of the Association, shall be responsible to the Board of Directors, and shall be responsible for the employment, supervision, evaluation, and dismissal of all Association employees in accordance with personnel procedures established by the Board of Directors.

Except for any employee who is specifically given a written employment contract, all NAESP employees are at-will employees.

NAESP personnel shall be employed and managed according to the procedures in the NAESP Employee Policies and Procedures Handbook. These policies are established by the Board of Directors and are reviewed periodically and, if necessary, revised. The NAESP Employee Policies and Procedures Handbook is neither a contract of employment nor any other type of legally binding document.

Scope of Policy

Establishes the personnel policies under which staff will be employed and managed.

Guidelines for Implementation

As stated in the NAESP Employee Policies and Procedures Handbook.

Procedures

1. The Executive Director shall review the personnel policies annually.
2. The Executive Director shall present the personnel policies to the Board for review annually along with any recommendations for modification.
3. The Executive Director shall administer the personnel policies.

Authority Level

Action

Board of Directors

Establish, review, and revise personnel policies as needed.

Executive Director

Review and recommend policy revisions to the Board for adoption.

PERSONNEL ADMINISTRATION

Policy Statement 700.2 Equal Employment Opportunity

It is the policy of NAESP to afford equal opportunity for employment to all individuals regardless of race, color, disability, age, religion, sex or national origin. NAESP is committed to this policy by the fact that adherence to the principles involved is the only acceptable American way of life.

Scope of Policy

Specifies NAESP commitment to equal employment opportunity responsibilities.

Guidelines for Implementation

NAESP will take affirmative action to:

1. recruit, train, hire and promote for all job titles without regard to race, gender, marital status, color, handicap, age, religion, national origin, or any other characteristics protected by law;
2. ensure that all personnel actions – i.e., compensation, benefits, layoffs, disciplinary actions, promotions, training, educational assistance, professional programs, etc., - will be administered in full conformity with the principles of equal employment opportunity and with Federal, state and local laws and regulations;
3. ensure that all personnel policies, procedures, and benefits are in full compliance with applicable equal employment opportunity laws and regulations.

Procedures

See guidelines above.

Authority Level

As stated above.

Action

As stated above.

PERSONNEL ADMINISTRATION

Policy Statement 700.3 Executive Director

The Executive Director shall be employed by the Board of Directors. The Board of Directors shall contract with the Executive Director for a period of not more than four years. The Executive Director's contract may be renewed. The Board of Directors will evaluate the performance of the Executive Director annually.

Scope of Policy

The Executive Director, as chief executive of the Association, shall be responsible to the Board of Directors and shall:

- a. serve as an ex-officio nonvoting member and secretary of the Board of Directors and the General Assembly;
- b. prepare, with the advice of the Board of Directors, programs for the Association;
- c. be responsible for the employment, supervision, evaluation and dismissal of Association employees in accordance with personnel procedures established by the Board of Directors;
- d. prepare an annual budget for submission to the Board of Directors;
- e. receive all funds and be responsible for their safekeeping, accounting and audit;
- f. prepare an annual report on Association activities, an annual financial report, and such other reports as prescribed by the Board of Directors;
- g. be responsible for the preparation and distribution of records of meetings of the General Assembly and the Board of Directors;
- h. keep the official seal of the Association;
- i. perform such other duties as prescribed by the Board of Directors;
- j. serve as Secretary and Treasurer of the Association; and
- k. serve as President of the NAESP Foundation.

Policy Statement 700.3 Executive Director (Cont.)

Guidelines for Implementation

The President presiding during the year under review shall conduct the performance evaluation of the Executive Director in a timely manner to allow the Board adequate time for review.

The Board of Directors will formally evaluate the Executive Director each year during the winter and shall report the results of the evaluation at the Spring Board meeting.

Procedures

See guidelines above.

Authority Level

Action

President

Shall initiate and conduct evaluation of the Executive Director in a timely manner to allow adequate time for review prior to the Spring Board meeting.

Board of Directors

Employ and contract with the Executive Director.

Evaluate the Executive Director annually as set forth in guidelines for implementation above.

Bylaws, Article IV,
Section 5, and Article
VII, Sections 1 and 2

PERSONNEL ADMINISTRATION

Policy Statement 700.4 Acting Executive Director

It is understood that, in the event the Executive Director is incapacitated or is absent and cannot be reached in time for needed action, the Second in Command Executive Staff member, as indicated on the NAESP organizational chart, has the responsibility and the authority to make such decisions and take such actions as are necessary for the continuing effective operation of the Association.

If the Executive Director is or may be unable to perform the duties of his/her office for an extended period due to a major illness or other incapacity, the Executive Director or the Second in Command Executive Staff member shall promptly notify the President. The President shall notify the Board of Directors.

Scope of Policy

Empowers the Second in Command Executive Staff member to act in emergency situations.
Provides a procedure in the event of a longer term inability of the Executive Director to perform the duties of his/her office.

Guidelines for Implementation

Second in Command Executive Staff member shall notify the President in the event the Executive Director is incapacitated or is absent and cannot be reached in time for needed action.

If it appears the Executive Director is or may be unable to perform the duties of his/her office for an extended period due to incapacity, the Executive Director or the Second in Command Executive Staff member shall promptly notify the President. The President shall notify the Board of Directors.

Procedures

See the guidelines above.

Authority Level

Second in Command Executive Staff member as indicated on the organizational chart

Action

If the Executive Director is incapacitated or absent and cannot be reached in time for needed action, the Second in Command Executive Staff member has authority to make such decisions and take necessary actions for continuing effective operations

Executive Director and Second in Command Executive Staff member

Notify the President if the Executive Director is or appears to be ill or incapacitated for an extended period.

President	Notify the Board if the Executive Directors is or appears to be incapacitated for an extended period.
President and Executive Committee of the Board	If the Executive Director is or appears to be incapacitated for an extended period, take such actions as they deem appropriate until the full Board of Directors may consider an appropriate course of action to provide for the effective ongoing day-to-day management of the Association.
Board of Directors	<p>If the Executive Director is or appears to be incapacitated for an extended period, consider an appropriate course of action to provide for the effective ongoing day-to-day management of the Association.</p> <p>If the Executive Director is or appears to be incapacitated for an extended period, take such actions as they deem appropriate until the full Board of Directors may consider an appropriate course of action to provide for the effective ongoing day-to-day management of the Association.</p> <p>If the Executive Director is or appears to be incapacitated for an extended period, consider an appropriate course of action to provide for the effective ongoing day-to-day management of the Association.</p>

PERSONNEL ADMINISTRATION

Policy Statement 700.5 Relations with Staff; Guidelines for the NAESP Elected Officers and Board of Directors

The Executive Director and his/her selected Board liaison shall be the contact between the NAESP staff and the Elected Officers and members of the Board of Directors on all matters of policy, detail and substance.

The Executive Director is a professional manager and, as the chief executive of the Association, conducts its day-to-day management and operations, including all personnel and hiring and firing decisions.

Elected Officers and Directors are not to interfere with the Executive Director's filling his/her duties in directing, hiring, promoting, disciplining and firing staff.

Scope of Policy

The Board of Directors employs the Executive Director of the Association, as the chief executive of the Association, and he/she is subject to direction from the Board of Directors and their oversight. (NAESP Bylaws Article VII, Section 2). As the Executive Director, he/she is responsible for and in charge of the day-to-day management and operation of the Association, including personnel matters.

Elected Officers and Directors serve important and vital roles within the Association, but they do not share in its day-to-day operational functions, including directing, hiring, promoting, disciplining and firing employees.

There would arise a confusion of leadership within the Association if staff were to receive orders or requests for information or services directly from both the Executive Director and the Elected Officers and Board members. Orders and requests from multiple sources would: (a) undermine the Executive Director's ability control staff; (b) overtax the limited staff resources of the Association; (c) undermine the Association's efficiency and ability to function; (d) cause short-term and long-term inconsistencies, resulting in lack of continuity; and (e) diminish the Association's ability to serve its members and the general public.

Guidelines for Implementation

Elected Officers and Directors should not avoid contact with staff, but they should avoid excessive contact with NAESP staff. The Executive Director provides the orders and directions to the staff. NAESP employees are not subject to receiving orders or requests for information or services directly from Elected Officers and Directors.

Policy Statement 700.5 Relations with Staff; Guidelines for the NAESP Elected Officers and Board of Directors (Cont.)

The Executive Director reports directly to the Elected Officers and Directors about all matters. Consequently, absent extraordinary circumstances, an Elected Officer or Director shall not ask an employee: (i) to perform work for him/her; (ii) about a specific project; (iii) about or attempt to discuss Association policy, or the details of an employee's work; or (iv) become excessively personal with employees.

The Association provides information regularly and some support to Elected Officers and Directors from its limited resources.

Procedures

An Elected Officer or Director: (a) who believes an NAESP employee is violating this Policy or the provisions of the NAESP Employment Policies and Procedures Handbook providing directions to employees concerning their relations with Elected Officers and Directors should remind the employee that the topic is something that should be handled through the Executive Director or the Board liaison designee; or (b) who believes another Elected Officer or Director is violating this Policy should remind him/her that the topic is something that should be handled through the Executive Director or the Board liaison designee.

NAESP employees are subject to a section in the NAESP Employee Policies and Procedures Handbook instructing employees about their relations with the Elected Officers and Directors and the employees are authorized to remind Elected Officers and Directors that their orders or requests to the employees are something which should be handled through the Executive Director or the Board liaison designee.

Authority Level

Action

Executive Director or
Selected Board Liaison

Acts as the contact between the NAESP staff and the
Offices and Board of Directors. Otherwise as stated above.

Elected Officers

May be in contact with NAESP staff, but should avoid
excessive contact with staff. Otherwise as stated above.

Board of Directors

Employs the Executive Director as the chief executive of
the Association. Directors may be in contact with NAESP
staff, but should avoid excessive contact with staff.
Otherwise as stated above.

FIELD SERVICE

Policy Statement 800.1 Field Service

The National Association of Elementary School Principals offers field service primarily to its members through affiliated state associations and other educational organizations. This service is partially supported by budgeted funds.

The purpose of field service is to provide support that will increase the effectiveness of NAESP in service to the profession, and to serve as a connecting link between the national and state associations.

Scope of Policy

Field service may include representation at professional conferences and workshops, speakers for various meetings and consultant services for state and local associations of elementary and middle school principals. It may include, also, in-service programs for professional association leaders and cooperative projects with universities and with other educational organizations.

Guidelines for Implementation

Requests for field service

1. Requests for field service should be made in writing and should indicate as specifically as possible the time, place and nature of service required. The request should also include information as to the extent to which the group asking for service can underwrite the expenses involved.
2. If a request for field service is directed to a member of the Board of Directors, the Executive Director of the Association shall be notified.
3. If a request for field service is directed to a member of the NAESP staff, the staff member should follow procedures established in the office for processing and clearing the request with the Executive Director or with someone else designated to coordinate the field services program.
4. The nature of the service required should be carefully considered when designating personnel for specific field service assignments. When appropriate, persons outside the NAESP staff -- present or past members of the Board of Directors, state leaders, university personnel, elementary school principals, and other educators -- may be asked to fill field service assignments.
5. Decisions concerning field services to be provided by members of the current Board of Directors rest with the Executive Director and the particular member who may be involved.

Policy Statement 800.1 Field Service (Cont.)

6. Decisions concerning field service provided by the staff or by someone other than the staff and the Board of Directors rest with the Executive Director in cooperation with the association staff.
7. In cases where more than one staff person and/or Board member is requested for the same meeting, the Executive Director shall determine the extent of NAESP's representation at the meeting.
8. In responding to requests for field service, priority should be given to particular groups of elementary/middle level principals, to geographic areas that have not recently had field service from the Association and to situations where a special need is known to exist.

Expenses for field service

1. Whenever possible, the group requesting field service should underwrite the expenses for travel, hotel, and meals. However, when legitimate requests for service come from groups with very limited funds, the Association may provide service within budgetary limitations.
2. When invitations come from groups other than elementary school principals (classroom teachers, superintendents, PTA, etc.), it is understood that the inviting group will assume the expenses for travel, hotel and meals unless it is felt that the Association's best interests can be served by the field service requested.

Procedures

See guidelines above.

Authority Level

As stated above.

Action

As stated above.

BOARD OF DIRECTORS

Policy Statement 800.2 Prohibiting Concurrent Service as a State Association Officer or Director

An NAESP Officer or Director shall not concurrently serve as an Officer or Director (except in an ex-officio role) of an NAESP State Affiliated organization. An individual elected to serve as an Officer or Director of NAESP shall resign any office or directorship position he or she holds in a State Affiliated Association (except an ex-officio role) by the date his or her term as an NAESP Officer or Director begins. A candidate for election as an NAESP Officer or Director shall agree, in the candidate's application, to resign from all State Affiliated association offices and directorships before the date the term as an NAESP Officer or Director begins. For purposes of this Policy, the Executive Director of an NAESP State Affiliated organization shall be deemed to be an officer of the organization.

Scope of Policy

Each NAESP Officer and Director undertakes a substantial commitment of time, oversight and other duties to the Association when elected and sworn in to office. The normal corporate duties include acting in good faith, acting in the best interests of NAESP, and of care, loyalty and obedience. NAESP has entered into affiliation agreements with almost all state principals' associations in the United States. In addition, NAESP's position in the educational administrative profession includes oversight of the profession nationwide. Periodically, there are transactions and situations in which NAESP's position or interest will conflict with that of the state principals' associations. Frequently, a person will receive information as an Officer or Director of one organization that he or she would ordinarily be expected to disclose to the other, but which cannot be disclosed without breaching a duty of loyalty or confidentiality to the organization which disclosed it to him or her. Consequently, if an NAESP Officer or Director is also serving as an officer or director of a State Affiliated organization, then he or she will periodically be in a position of divided loyalty and otherwise with a conflict of interest. The issues can be avoided if one person is not concurrently an Officer or Director of NAESP while holding a similar position with an NAESP State Affiliated organization.

Procedures

The application to be completed by a candidate for election as an NAESP Officer or Director shall include a question requiring the candidate to disclose whether he or she serves as, or has been recently elected to serve as, an officer or director of an NAESP State Affiliated organization. The application shall include a statement which the candidate must, if applicable, sign agreeing to resign as an officer or director of the State Affiliated organization (except if serving in an ex-officio role) by the date his or her term as an Officer or Director of NAESP begins. If resigning, a copy of the resignation must be sent to NAESP's President.

Policy Statement 800.2 Prohibiting Concurrent Service as a State Association Officer or Director (continued)

Authority Level

Action

President

Receives a copy of the resignation of a State Affiliated Officer or Director before the term of office as an NAESP Officer or Director begins.

Adopted: July 2, 2016

BOARD OF DIRECTORS

Policy Statement 800.3 NAESP Faculty Policy and Officer and Director Limitations

1. All faculty shall be selected by the NAESP staff following a standardized application process that shall include a letter of interest by the applicant along with his/her resume or vitae
2. Former NAESP Directors and state executives, shall be given no special consideration for appointment to the NAESP Faculty, but shall follow the same application and approval process as all other applicants.
3. A member of the Board of Directors shall not join the faculty during their term on the Board. If a member of the Board is on the faculty before assuming office, that person shall be temporarily suspended from the faculty while serving on the Board.

Scope of Policy

Each NAESP Officer and Director undertakes a substantial commitment of time, oversight and other duties to the Association when elected to serve in office. Restricting members serving on the current Board of Directors to participate on the Faculty will serve to avoid the appearance of impropriety.

Procedures

See above.

Authority Level

Action

NAESP Staff

Will follow established procedures when recruiting faculty, accepting applications and selecting the faculty members.

Officers & Directors

Will not participate as active Faculty members during their terms of office.

Adopted: July 3, 2016

CONFERENCES

Policy Statement 900.1 Co-Sponsorship of Conferences

Conferences sponsored by state and regional associations, state and federal agencies, institutions of higher education and other associations and organizations may be co-sponsored by NAESP where such co-sponsorship is of benefit to NAESP and its members.

Scope of Policy

NAESP is often called upon to co-sponsor educational conferences. Where such co-sponsorship benefits NAESP and its members, it is desirable and appropriate that NAESP offer to co-sponsor those conferences.

Guidelines for Implementation

The Executive Director shall review all requests for co-sponsorship of conferences and shall determine co-sponsorship. Such action shall be reported to the Board of Directors at its next meeting.

Procedures

See guidelines above.

Authority Level

Executive Director

Action

Determine co-sponsorship and report to the Board of Directors at its next meeting.

CONFERENCES

Policy Statement 900.2 National Leaders' Conference

The Association sponsors a meeting for State Affiliate Association officers each spring. The purposes of this conference are to provide in-service experiences and to discuss issues of mutual interest pertaining to professional association work -- local, state and national.

Scope of Policy

Specifies the conditions for representation and funding of participants' attendance at the National Leaders' Conference.

Guidelines for Implementation

The National Leaders' Conference shall be held annually during the month of February or March in the Washington, District of Columbia, Metropolitan Area. Specific dates for the conference are to be set at least two years in advance to provide sufficient notice to State Affiliates and to alleviate scheduling conflicts. The Association shall provide notice of the National Leader's Conference to each State Affiliate Association as provided in the NAESP Bylaws.

The Association may pay all or a portion of the expenses for the conference as determined by its Board of Directors.

Each State Affiliate Association shall select and designate its NAESP State Representative. A substitute for any NAESP State Representative may attend the conference in accordance with the following procedures:

1. The substitute must be an NAESP member in good standing.
2. The substitute must be a member of the NAESP-affiliated state association's board of directors, preferably an officer, or in the case of a state with a merged or umbrella administrators association only, the substitute must be a member of the affiliated association's principal/administrator governing body.
3. The NAESP-affiliated state association shall certify, in writing to the NAESP Executive Director that a temporary emergency exists requiring the substitute's presence.
4. The substitute will give the NAESP State Representative a full report of the National Leaders' Conference as well as all materials distributed to him/her during the National Leaders' Conference. A copy of the report should be sent to the NAESP Executive Director.

Authority Level

As stated above.

Action

As stated above.

COOPERATIVE PROJECTS

Policy Statement 1000.1 Joining Coalitions

It is frequently in the best interests of or of special benefit to NAESP, the advancement of education, educational administration, and NAESP members for the Association to engage as a member of a jointly sponsored coalition. All activities of this nature shall be reviewed, annually, by the Board of Directors.

Scope of Policy

NAESP shall determine its participation in coalitions according to the following provisions:

1. The purpose of the coalition serves the best interests of children and/or children's education.
2. The purpose of the coalition helps meet one or more of NAESP's goals.
3. The purpose of the coalition supports one or more provisions of the NAESP Platform.
4. NAESP's joinder in the coalition will have a tendency to increase NAESP's stature in the educational community, with the other members of the coalition, or with the group the coalition seeks to influence.
5. The coalition contains no groups whose participation in the coalition would be inimical to NAESP's interests.
6. Participation in the coalition is within the Association's budgetary limitations.
7. NAESP reserves the right to take a similar but independent stance to that preferred by a specific coalition when an independent stance is in the best interests of the Association.
8. Participation in a coalition on a short-term or long-term basis shall be determined by the Executive Director who may also authorize withdrawal from a coalition at any time, if circumstances warrant it.

Guidelines for Implementation

1. The Executive Director shall have the authority to initiate and authorize continued NAESP participation in a coalition.
2. Should events occur which warrant a timely withdrawal from a coalition, the Executive Director may take that action.

Procedures

See guidelines above

Policy Statement 1000.1 Joining Coalitions (Cont.)

Authority Level

Action

Executive Director

Initiate and authorize continued NAESP participation in a coalition; withdraw NAESP participation from a coalition.

Report annually NAESP participation in coalitions to the Board of Directors.

COOPERATIVE PROJECTS

Policy Statement 1000.2 Use of NAESP Membership Lists

The NAESP membership list is not public property and NAESP considers it a trade secret. The Executive Director is responsible for its safekeeping and use. It may not be made available for any commercial or profit-making venture except those which are specifically approved as Association services, i.e., special services programs for NAESP members.

Scope of Policy

Establishes the conditions under which NAESP membership lists may be released to outside organizations.

Guidelines for Implementation

The Executive Director is authorized to:

1. supply the membership list in exchange for other association lists or services which may benefit NAESP or;
2. license (lease) the list, or make the list available at no cost for one-time use, to associations, groups or companies offering a service or product which is of value to NAESP members.

Procedures

See the Guidelines for Implementation above.

Authority Level

Action

(See the Guidelines for Implementation above).

COOPERATIVE PROJECTS

Policy Statement 1000.3 Contests

Requests are occasionally received by the Executive Director or the President of the Association requesting NAESP to sponsor or endorse various contests and competitions for children. The Association continues to withhold sponsorship or endorsement of contests and competitions for children unless the project reinforces positive attitudes or academic skills for children.

Scope of Policy

Define conditions for NAESP endorsement or approval of contests and competitions.

Guidelines for Implementation

Approval of contests or competitions must be based upon evidence that such contests and competitions reinforce positive attitudes or academic skills for children.

Procedures

The Executive Director shall determine whether the Association will endorse or approve any contest and shall report his/her action to the Board of Directors at its subsequent meeting.

Authority Level

Executive Director

Action

Has the authority to make such determination and inform the NAESP Board at the next meeting following such action.

COOPERATIVE PROJECTS

Policy Statement 1000.4 Use of Children for Charitable Fund Solicitation

The Association is sometimes requested to endorse or approve programs sponsored by reputable charitable organizations. While many of these projects have laudable components providing possible academic motivation or enrichment, their ultimate goal is to use a school or its programs to cause children to solicit contributions for the charity.

Scope of Policy

NAESP recognizes the rights of principals to involve their schools in projects which might support their instructional programs or help pupils acquire a concern for worthwhile charities. However, the Association will not endorse nor permit its name to be used by any program which appears to utilize the school to cause children to engage in fund solicitation.

Guidelines for Implementation

The Executive Director shall determine endorsement or approval and shall report to the Board of Directors at its subsequent meeting.

Procedures

See guidelines above.

Authority Level

Executive Director

Action

Approve endorsement of programs and report to the Board of Directors at its subsequent meeting.

ADVOCACY

Policy Statement 1100.1 Advocacy

The NAESP Board of Directors authorizes the President and the Executive Director, or his/her designee to speak for the Association in situations where advocacy is necessary or appropriate.

The Executive Director is further authorized to encourage the local and state associations to take the lead in advocacy situations and to support their efforts as much as NAESP resources will permit.

The President and Executive Director must confer prior to any major statement on advocacy.

Scope of Policy

Establishes the authority of specified individuals to speak for the Association.

Guidelines for Implementation

1. In situations where advocacy is necessary or appropriate, the President or the Executive Director or his/her designee may speak on behalf of the Association.
2. The Executive Director may encourage state and local associations and may support their efforts in advocacy situations.

Procedures

Before any major statement on advocacy is presented, the President and the Executive Director shall confer.

Authority Level

Action

President

Speak on behalf of NAESP.

Executive Director

Speak on behalf of NAESP. Encourage state and local associations and support their efforts.

Confer with President prior to major statements.

Board of Directors

Adopts the platform for the Association

ADVOCACY

Policy Statement 1100.2 Statement of Ethics for School Administrators

An educational administrator's professional behavior must conform to an ethical code. The code must be idealistic and at the same time practical, so that it can apply reasonably to all educational administrators. The administrator acknowledges that the schools belong to the public he or she serves for the purpose of providing educational opportunities to all. However, the administrator assumes responsibility for providing professional leadership in the school and community. This responsibility requires the administrator to maintain standards of exemplary professional conduct. It must be recognized that the administrator's actions will be viewed and appraised by the community, professional associates and students. To these ends, the administrator subscribes to the following statements of standards.

The educational administrator:

1. Makes the well-being of students the fundamental value in all decision making and actions.
2. Fulfills professional responsibilities with honesty and integrity.
3. Supports the principle of due process and protects the civil and human rights of all individuals.
4. Obeys local, state and national laws and does not knowingly join or support organizations that advocate, directly or indirectly, the overthrow of the government.
5. Implements the governing board of education's policies and administrative rules and regulations.
6. Pursues appropriate measures to correct those laws, policies and regulations that are not consistent with sound educational goals.
7. Avoids using positions for personal gain through political, social, religious, economic or other influence.
8. Accepts academic degrees or professional certification only from duly accredited institutions.
9. Maintains the standards and seeks to improve the effectiveness of the profession through research and continuing professional development.
10. Honors all contracts until fulfillment or release.

Policy Statement 1100.2 Statement of Ethics for School Administrators (Cont.)

Scope of Policy

Establishes a Code of Ethics for NAESP members.

Guidelines for Implementation

As indicated above.

Authority Level

NAESP members

Action

Adhere to the Code.

Policy History: Adopted by the NAESP Board of Directors September 29, 1976.

ADVOCACY

Policy Statement 1100.3 Legal Benefits Program Policy Statement

A primary aim of NAESP is to support the principal by enhancing member access to legal assistance in job-protection related legal proceedings. NAESP shall have in place, and available for inspection, a contract with a qualified insurance carrier which provides levels of coverage as prescribed by the Board of Directors. Said contract shall contain the procedures for processing, defending and satisfying claims. Participation in the Legal Benefits Program shall be considered confidential and known only to authorized parties.

Scope of Policy

1. Benefits under the Legal Benefits Program shall be available to all eligible members (Active, Institutional Active, Emeritus, and Life) without discrimination.
2. The provision of financial support via the Legal Benefits Program shall not be interpreted as an endorsement of the recipient's substantive claim or defense.
3. Every eligible member of NAESP shall be provided two million dollars of professional liability insurance coverage, through a group insurance policy, for eligible claims.
4. Every eligible member of NAESP shall be entitled to \$1,000 of job-protection related insurance coverage per year of continuous membership, capping at \$10,000 (\$500 deductible per claim). All claims are subject to the specific eligibility requirements as stated in the existing Legal Benefits insurance policy.
5. NAESP's commitment to providing benefits under the Legal Benefits Program shall be limited to the benefits provided under the terms of the insurance contract purchased by NAESP.

Guidelines for Implementation

1. The Executive Director shall direct or conduct the necessary due diligence to ensure a qualified Legal Benefits Program insurance policy is in place for members and has been approved by the Board of Directors. The Legal Benefits Program shall be subject to annual review by NAESP staff to ensure the continuation of the benefits levels as established by the Board of Directors.
2. Any changes to the Legal Benefits Program shall be subject to the review of and approval by the Board of Directors.

ADVOCACY

Policy Statement 1100.4 State Attorney Expenses (LBP Assistance through State Associations)

In those states where eligible members of NAESP receive legal assistance from an attorney retained by a state association, it shall be incumbent upon the individual NAESP members to contact the Legal Benefits Program (“LBP”) Administrator (a representative of the insurance carrier) for the purpose of establishing a mutually agreed upon process for filing claims.

Scope of Policy

Specifies the relationship between the individual NAESP members and the insurance carrier regarding the processing of eligible LBP claims.

Guidelines for Implementation

The time requirements of any LBP criteria shall be considered as having been met when mutually agreed upon between the state association and the Legal Benefits Program Administrator.

Procedures

1. The state association and Legal Benefits Program Administrator shall work together directly to establish a process for filing eligible claims.
2. NAESP shall provide assistance in accordance with the Legal Benefits Program insurance policy.

Authority Level

NAESP

Action

Verify NAESP membership and facilitate a claiming member’s contact with the Legal Benefits Provider.

ADVOCACY

Policy Statement 1100.5 Principals Advocacy Fund

Purpose

The purpose of the Principals Advocacy Fund (“PAF”) is to provide grants to local and state associations, to help meet a group advocacy need.

General Policies

1. The responsibility for funding PAF each year shall be limited to the amount budgeted annually by NAESP’s Board of Directors.
2. Each application for assistance from the PAF shall be reviewed on a case-by-case basis by the NAESP Board of Directors.
3. Group advocacy needs shall be defined as any group advocacy effort approved by the NAESP Board of Directors, and may include such things as class action suits, a membership services challenge, or other group advocacy need.
4. A group advocacy need may be corrective or preventive.
5. Assistance shall be provided through a contractual arrangement.
6. Each recipient of advocacy assistance shall agree to promote NAESP membership and to publicize NAESP assistance.
7. An association requesting assistance shall provide a copy of the minutes of the meeting at which the request was authorized.
8. State associations shall be notified of requests for assistance received from local associations.

Scope of Policy

Establishes a group advocacy assistance program and the PAF.

Guidelines for Implementation

CRITERIA FOR ASSISTANCE

States

To be eligible to receive assistance from the PAF, a state association must be an affiliated state association and must be in adherence with the Membership Agreement (if participating).

Policy Statement 1100.5 Principals Advocacy Fund (Cont.)

State and Local Associations

1. The stated group advocacy need must be related to NAESP purposes and goals.
2. Consideration shall be given to the applicant's:
 - a. Prior effort expended in the stated need area
 - b. Plans for continuing effort during PAF assistance period
 - c. Level of NAESP membership

LEVEL OF ASSISTANCE

1. The level of assistance shall be directly related to the applicant's:
 - a. Productivity in securing NAESP members
 - b. Effort and plans for continuing effort in the stated need area
 - c. Need
2. The NAESP Board of Directors shall determine the maximum amount of assistance to be provided to each applicant on a case-by-case basis. In making its decision, the Board shall consider: a) whether or not the request is the first case of its kind in need of assistance; and b) the degree to which the costs giving rise to the request are or should be shared by local, state, or other national organizations.

Procedures

1. An applicant group shall complete and submit the Principals Advocacy Fund application form.
2. The NAESP Board of Directors shall consider all requests received prior to July 1 of each year at the July Board of Directors meeting unless circumstances are such that Board action is required prior to that date.
3. If the Board of Directors approves the request, an appropriate contractual arrangement will be consummated according to the Board's determination.
4. If the Board denies the request, the applicant will be notified of the decision and the reason(s) for denial.

Authority Level

Action

Applicant

As stated above.

Board of Directors

As stated above.

National Association of Elementary School Principals
Principals Advocacy Fund Application
(Pursuant to NAESP Policy #1100.5)

The purpose of the Principals Advocacy Fund (PAF) is to provide grants to local and state associations to help meet a group advocacy need defined as any group advocacy effort approved by the NAESP Board of Directors, such as class action suits, a membership services challenge, or other group advocacy need.

1. Please state the general nature of your group advocacy need (more detailed information will be requested, if needed, to determine eligibility for assistance):

2. What effort has been expended in the stated need area to date?

3. Explain how the requested funds will be used:

4. Submit with this application a copy of the minutes of the meeting at which the request was adopted by the state affiliate governing body.

5. I hereby request PAF assistance in the amount of \$ _____ to be used for the group advocacy need identified above; further, I have reviewed the NAESP Principals Advocacy Fund Policy 1100.4 and agree to abide by the policies stated therein.

State Affiliate: _____

Street Address: _____

City, State Zip: _____

_____/_____/_____

Phone Number

Fax Number

E-mail Address

Executive Director: _____

Signature Date

Mail completed form with attachments to:

Executive Director
Principals Advocacy Fund
NAESP
1615 Duke Street
Alexandria, VA 22314-3483

MEMBERSHIP

Policy Statement 1200.1 Affiliation Agreement

NAESP may enter into an affiliation agreement with any recognized state association.

Scope of Policy

Establishes the terms and conditions of an affiliation agreement.

Guidelines for Implementation

An affiliation agreement between NAESP and a state association shall take the following form, which may be revised from time-to-time by NAESP:

AFFILIATION AGREEMENT

We, the undersigned representatives of the

(Name of State Association)

hereinafter referred to as the "state affiliate," and the National Association of Elementary School Principals, hereinafter referred to as "NAESP," acting under the authority of our respective governing boards, do hereby agree to abide by this affiliation agreement.

It is understood that this agreement is binding on both undersigned parties and will continue in force until modified by mutual agreement.

THE NAESP AGREES TO:

1. Provide the state affiliate with the opportunity to participate in a joint state/national membership promotion and processing plan according to the terms and conditions specified in the document entitled Letter of Agreement: Membership.
2. Supply the state affiliate, at a specified address, one copy of all magazines and newsletters produced or distributed by NAESP.
3. Supply the state affiliate, at a specified address, one copy of the proceedings and/or minutes of the meetings of the NAESP Board of Directors and the General Assembly.

Policy Statement 1200.1 Affiliation Agreement (Cont.)

THE STATE AFFILIATE AGREES TO:

1. Support NAESP goals, Platform, and purposes set forth in the NAESP Bylaws and as determined by the NAESP General Assembly.
2. Indicate the state's affiliation with NAESP on mastheads of publications and letterheads.
3. Notify NAESP of the names, addresses and telephone numbers of all officers, editors, chairpersons of state committees and staff members within thirty (30) days of any changes therein.
4. Supply NAESP with one copy of all magazines, newsletters, notices, membership promotion materials and other publications produced or distributed by the state association.
5. Supply NAESP with one copy of its current Constitution and Bylaws.
6. Include the NAESP State Representative on the state association's executive committee or board of directors as either a voting or nonvoting member.

FOR NAESP:

FOR STATE AFFILIATE:

President

President

Executive Director

Executive Director (If none, State Representative)

Date

Date

Procedures

Authority Level

Action

NAESP

As stated above.

State Association

As stated above.

MEMBERSHIP

Policy Statement 1200.2 Publications Sent to Members

Differentiation of benefits between membership categories shall be determined by the Board of Directors based on recommendations from the membership committee.

NAESP publications include, but are not limited to: *Principal Magazine, Communicator, Before the Bell, PD NOW, Principals Bookshelf, Foundation News, and Report to Parents*. Publications are subject to change based on marketing research and analysis of member needs.

NAESP publications may be delivered electronically or in hard copy or both.

NAESP publications will be sent to all members by category of membership as follows:

Active - Institutional Active - Associate – Emeritus – Retired – Aspiring Principal – Institutional Subscription

- All publications

International Associate

- Varies according to individual agreements

Scope of Policy

Establishes the publications to which specified categories of members are entitled.

Guidelines for Implementation

Staff shall distribute publications according to the categories specified.

Procedures

See the Guidelines for Implementation.

Authority Level

NAESP Staff

Action

Mail publications as specified to the appropriate categories of members.

MEMBERSHIP

Policy Statement 1200.3 Joint Membership and Reciprocity

State associations may voluntarily enter into a mutual joint membership agreement with NAESP. Those states which do so may also request reciprocity with NAESP. All such agreements are subject to approval of the NAESP Board of Directors and the boards of directors of the respective state associations.

Scope of Policy

Recognized state associations affiliated with NAESP may voluntarily request to enter into a joint membership agreement with NAESP. Joint membership means that the state association shall require NAESP membership of its active members and will accept no one as an active state member who does not join both the state association and NAESP.

State associations which have or are seeking joint membership status may also request reciprocity from NAESP. Reciprocity means that NAESP will not accept active membership enrollment from an individual public or private* elementary or middle school principal or assistant principal from that state unless that individual also joins the state association.

Effective June 1, 2003, reciprocity applies to categories of membership as mutually-agreed upon between a recognized State Affiliate and NAESP, upon entering into a joint membership agreement.

Guidelines for Implementation

1. Boards of Directors of both the requesting state association and NAESP must approve of the agreements.
2. Each state association choosing to become a joint state shall receive additional reimbursement for each NAESP membership processed by that state in accordance with the NAESP rebate policy.
3. During a transition period not to exceed one year, all NAESP membership renewal dates in joint reciprocal membership states will be adjusted to coincide with the state membership renewal dates.
4. Individuals who are not a principal or assistant principal in a public or private elementary or middle school will be able to continue their active membership in NAESP without being required to join the state association, though they would be encouraged to do so.

Policy Statement 1200.3 Joint Membership and Reciprocity (Cont.)

Procedures

1. The recognized state association, an affiliate of NAESP, requests in writing that it officially wishes to enter into a joint membership agreement and a reciprocity agreement with NAESP.
2. At its meeting subsequent to receipt of the request, the NAESP Board of Directors acts on the request.
3. If approved, the state association will be notified and requested to work closely with the Membership Division of NAESP to effectuate the one-year transition of membership enrollment dates.
4. If the request is denied, the state association will be informed and given the reason(s) for the denial.

Authority Level

Action

State Association

As stated above.

NAESP

As stated above.

*The inclusion of private school principals or assistant principals began on June 1, 2000. Private school principals or assistant principals who were members of NAESP, only, as of May 31, 2000, were "grandfathered" under this revised policy and allowed to continue their membership with NAESP without the requirement of reciprocity with respective states.

MEMBERSHIP

Policy Statement 1200.4 Process for Implementation of Reciprocity

In order to ease the transition into joint membership status for both the state association and NAESP, a process for implementation of reciprocity shall be established by NAESP in cooperation with the state. The following serves as a model to guide in the development of such a process.

JOINT STATES

YEAR 1: TRANSITION PERIOD

During the transition period, all state only members will receive complimentary copies of publications received by active NAESP members.

The state affiliate will provide appropriate names and addresses of state only members. This listing shall be made in a format mutually agreed upon by both the state and national associations. Updates (additions or deletions) may occur throughout the transition period.

Prior to the transition period, all state affiliate members and NAESP active members will receive a letter signed by the President of the state affiliate and NAESP explaining the process of implementing the reciprocal membership agreement.

State affiliate only members are not eligible to participate in the NAESP Legal Benefits Program (LBP).

YEAR 2: IMPLEMENTATION PERIOD

Complimentary copies of publications will not be provided during the implementation period.

This will not be needed during the implementation period, as memberships (active and institutional/active) will be identical.

Prior to the beginning of the implementation period, all state affiliate members and NAESP active and institutional/active members will receive a letter signed by the President of the state affiliate and NAESP, inviting them to become members of the "joint state/national association." This letter should include a review of the specific member benefits and services to be provided by this arrangement.

Membership in NAESP qualifies the individual for participation in the NAESP LBP.

Policy Statement 1200.4 Process for Implementation of Reciprocity (Cont.)

YEAR 1: TRANSITION PERIOD

The state affiliate and NAESP will collaborate on the design and content of appropriate basic membership related materials, such as:

- Membership Brochures
- Membership Cards
- Membership Invoices/Renewal Notices
- Membership Certificates

The membership staff of both the state affiliate and NAESP will work to determine the most effective means for processing new and renewing members. If possible, these procedures will be tested and evaluated during the transition period.

YEAR 2: IMPLEMENTATION PERIOD

Basic membership materials will reflect the joint reciprocal status.

With implementation, the mutually agreed upon procedures will be implemented.

MEMBERSHIP

Policy Statement 1200.5 Regular and Special Categories of Membership

The Association shall have regular and special categories of membership as determined by the Board of Directors, with recommendations from the Membership Committee. (NAESP Bylaws, Article II, Section 1).

Scope of Policy

The NAESP Board of Directors has established the various categories of regular and special NAESP membership, and the rights, benefits and privileges of the members of each membership category, as are provided below. The Board of Directors may change the categories and rights, benefits and privileges as it deems appropriate.

Guidelines for Implementation

THE NAESP REGULAR ASSOCIATION MEMBERSHIP CATEGORIES ARE AS FOLLOWS:

Active Principal Membership

Active membership includes those persons who support the objectives of the Association, pay the active member dues, and who are employed in professional work related to the elementary and middle school principalship. Active members shall be entitled to all of the Association's services and benefits, including the right to vote. Active members who are online principals are eligible to run for and may hold office. Note: **It is understood that principals and assistant principals must join the Association in the Active or Institutional Active membership category.**

Active Assistant Principal Membership

Active membership includes those persons who support the objectives of the Association, pay the active member dues, and who are employed in professional work related to the elementary and middle school principalship. Active members shall be entitled to all of the Association's services and benefits, including the right to vote. Active members who are online assistant principals are eligible to run for and may hold office.

Life Membership

Life memberships are restricted to those persons holding such membership as of September 1, 1973. Life members shall be entitled to all of the Association's services and benefits, including the right to vote. Life members who are online principals or assistant principals may hold office.

Emeritus Membership

Emeritus membership includes those former active members who have retired. Emeritus members may not hold office; otherwise, Emeritus members shall be entitled to all of the Association's services and benefits, including the right to vote.

THE NAESP SPECIAL ASSOCIATION MEMBERSHIP CATEGORIES ARE AS FOLLOWS:

Institutional/Active Membership

Institutional/Active membership is available to those persons who support the objectives of the Association, pay the Active member dues of the Association, and who are employed in professional work related to the elementary and middle school principalship.

RIGHTS AND BENEFITS: Includes one complete Active membership for an individual who is entitled to all of the Association's services and benefits, including the right to vote and hold office as an online principal or assistant principal. Also includes a duplicate set of NAESP regular publications sent to the institution.

Associate Membership

Associate membership is available to: 1) a professor of education or educational administration; 2) a non-administrator who is interested in elementary or middle school education or administration; 3) a director of a before or after-school child care program; or 4) any other educational leader who is not a principal or assistant principal.

RIGHTS AND BENEFITS: Associate members are entitled to all membership rights and benefits except voting, holding office, and participating in the Legal Assistance for Principals Program.

Policy Statement 1200.5 Regular and Special Categories of Membership (Cont.)

Aspiring Principals Membership

Aspiring Principals membership is available to teachers and others not eligible for Active membership but who are interested in employment in professional work related to the elementary and middle school principalship or assistant principalship.

RIGHTS AND BENEFITS: Aspiring Principal members shall receive the regular publications of the Association and shall be entitled to register at the Annual Convention and all workshops/conferences at the member rate. Aspiring Principal members are not eligible to vote, hold office, or participate in the Legal Assistance for Principals Program.

Institutional Subscription

Institutional Subscription membership is available to libraries only.

RIGHTS AND BENEFITS: Institutional Subscription members receive these NAESP regular professional publications: *Principal* magazine, *Communicator* newsletter, *Here's How* periodical, *Streamlined Seminar* periodical, and *Research Roundup* periodical.

International Associate Membership

International Associate membership is available to principals, headmasters and others employed outside the United States in professional work related to the elementary and middle school education.

RIGHTS AND BENEFITS: International Associate members receive NAESP regular publications and some professional services and benefits. They do not have the right to vote, hold office or participate in the Legal Assistance for Principals Program.

Honorary Membership

Honorary membership is available only to those individuals awarded such membership by the Board of Directors.

RIGHTS AND BENEFITS: Honorary members receive NAESP regular publications and some professional services and benefits. They do not have the right to vote, hold office, or participate in the Legal Assistance for Principals Program.

Procedures

Each regular and special membership category established according to the NAESP Bylaws shall be defined in a consistent manner in all Association Policies and Procedures.

Policy Statement 1200.5 Regular and Special Categories of Membership (Cont.)

<u>Authority Level</u>	<u>Action</u>
Board of Directors	Establishes regular and special categories of NAESP membership and determines the rights, benefits and privileges of each category of membership.
Membership Committee	May recommend regular or special NAESP membership categories to the Board of Directors, and also the rights, benefits and privileges of each category.
Executive Director and Staff	Promote all categories of membership consistent with allowable rights, benefits and privileges of each category, and fulfill all membership services and benefits accordingly.

MEMBERSHIP

Policy Statement 1200.6 Rebate Schedule

During each fiscal year, NAESP will reimburse each state association a specified amount for each NAESP membership processed by the state association according to the categories listed below.

Scope of Policy

Establishes the rate for NAESP's reimbursement of state associations for state-processed memberships, new and renewed.

Guidelines for Implementation

Computations will be made based on the actual number of new and renewed Active & Institutional Active membership categories processed at full dues rate, reported and transmitted to NAESP by a state association affiliate in its regular or periodic transmittals to NAESP:

NAESP Rebate Schedule, Per Member—Active & Institutional Active effective July 1, 2013					
State Category	Member Status	Level 1 0-25% of potential market share	Level 2 26-50% of potential market share	Level 3 51-75% of potential market share	Level 4 75+% of potential market share
Joint States	New:	\$36.00	\$40.00	\$44.00	\$48.00
	Renew:	\$18.00	\$20.00	\$22.00	\$24.00
Non-joint States	New:	\$24.00	\$26.00	\$28.00	\$30.00
	Renew:	\$14.00	\$16.00	\$18.00	\$20.00

Procedures

Staff will apply the scheduled amounts to members processed by each state association and will reimburse as indicated.

Authority Level

Action

NAESP Staff Reimburse state associations as indicated above.

MEMBERSHIP

Policy Statement 1200.7 NAESP-Affiliated State Association Dues Payment Models and Delinquency

Beginning with the 2009-2010 fiscal year, each NAESP-affiliated state association signed a dues payment application that provided for the state association's method of payment to NAESP for NAESP membership dues collected by the state association.

Scope of Policy

This Policy outlines the various options available to NAESP-affiliated state associations for paying to NAESP the NAESP membership dues collected by the state associations, including the payment cycles, due dates, and ramifications for delayed or delinquent payments.

Guidelines for Implementation

NAESP will send an annual notice and agreement to each NAESP-affiliated state association instructing it to choose, in writing, an option for payment of the NAESP membership dues collected by the state association and acknowledge receipt of a copy of this policy and guidelines.

The options in the notice and agreement will specify the following three options from which the NAESP-affiliated state association may select in order to report and pay to NAESP the NAESP membership dues it has collected for NAESP. The state association must indicate its choice in writing. If it fails to specify in writing, then it shall report, transmit and pay according to Option 1:

Option 1: "Pay-as-you-go" – The state association will agree that its check for the NAESP membership dues will accompany each dues report transmittal submitted by it to NAESP.

Option 2: "Monthly payment cycle" – The state association will agree to NAESP invoicing it once a month for all membership dues included in transmittals submitted by the state affiliate and received by NAESP within said month. Note: State affiliates that choose this option will be invoiced on a monthly basis for all membership transmittals received in the NAESP office during that month. Payment shall be made by the state affiliate by the 15th day of the following month.

Option 3: "Quarterly payment cycle" – The state association will agree to NAESP invoicing it on a quarterly basis for all membership dues included in transmittals submitted by the state affiliate and received by NAESP within said quarter. Note: State affiliates that choose this option will be invoiced on a quarterly basis for all membership transmittals received in the NAESP office during said quarter. Payment shall be made by the state affiliate by the following dates for each quarter:

Policy Statement 1200.7 NAESP-Affiliated State Association Dues Payment Models and Delinquency (Cont.)

July 1 – September 30 *payment due by October 15*

October 1 – December 31 *payment due by January 15*

January 1 – March 30 *payment due by April 15*

April 1 – June 30 *payment due July 15*

The handling of membership dues when a member has his/her dues withheld from monthly payroll (“Payroll Deduction”) and paid to the state association monthly:

“Payroll Deduction” – The state association will agree that its check for the Payroll Deduction amount of the NAESP membership dues received by it will accompany each dues report and/or transmittal submitted to NAESP according Option 1, 2 or 3, above, and those Payroll Deduction dues payment shall be paid to NAESP with or without NAESP invoicing the state association for them.

Procedures

NAESP staff will send an annual notice and agreement to each NAESP-affiliated state association instructing it to choose, in writing, an option for payment of the NAESP membership dues collected by the state association and acknowledge receipt of a copy of this policy and guidelines

Staff will send out invoices based upon the option that each NAESP-affiliated state association has chosen. The staff shall monitor compliance with the invoices and otherwise monitor dues payments by state associations. If a state association does not pay timely, NAESP will charge a six percent (6%) late fee for the first month’s or quarter’s dues delinquency, thereafter, the interest on the unpaid balance shall accrue at the rate of 1.5% per month.

If dues become 60 or more days past due from any NAESP-affiliated state association, NAESP reserves the right to apply accrued membership rebates to the outstanding balance.

If dues become 90 or more days past due from any NAESP-affiliated state association, NAESP’s Executive Director shall notify the NAESP Board of Directors who shall determine proper notification to the state association’s leaders and the members in that state.

If dues become 180 or more days past due from any NAESP-affiliated state association, NAESP’s Executive Director shall notify the NAESP Board of Directors who shall determine proper notification of state association leaders and members in such state. Further, the NAESP Board of Directors shall authorize NAESP’s Executive Director to negotiate a contract agreement with said state association to repay delinquent dues.

If dues become 365 or more days past due from any NAESP-affiliated state association, NAESP Board of Directors shall authorize NAESP’s Executive Director to take legal action to collect the dues owed to NAESP and/or dissolve the state affiliate agreement.

Policy Statement 1200.7 NAESP-Affiliated State Association Dues Payment Models and Delinquency (Cont.)

<u>Authority Level</u>	<u>Action</u>
NAESP Staff	Send annual notices and agreement to NAESP-affiliated state associations so the state associations may specify the dues payment option selected. Invoice NAESP-affiliated state associations for the NAESP dues to be paid to NAESP. Monitor payments received from the NAESP-affiliated state associations. Report delinquencies to the Executive Director.
Executive Director	Assure that policy and procedures are implemented as outlined above, including notifications to Board of Directors
Board of Directors	Determine proper notification to NAESP-affiliated state association leaders and members upon delinquency as outlined above. Authorize the NAESP Executive Director to take action as outlined above as warranted.

AFFILIATION

Policy Statement 1300.1 Allied Organization Agreement

NAESP may enter into an agreement with an allied organization.

Scope of Policy

Permits NAESP to enter into an agreement with an allied organization. An allied organization is a membership organization which does not qualify for recognized state association status.

Guidelines for Implementation

ALLIED ORGANIZATION AGREEMENT

We, the undersigned representatives of the

(Name of Allied Organization)

hereinafter referred to as the "allied organization," and the National Association of Elementary School Principals, hereinafter referred to as "NAESP," acting under the authority of our respective governing boards, do hereby agree to abide by this agreement.

It is understood that this agreement is binding on both undersigned parties and will continue in force until modified by mutual agreement.

NAESP AGREES TO:

1. Supply the allied organization, at its permanent address, with one copy of all magazines and newsletters produced or distributed by NAESP.
2. Supply the allied organization, at its permanent address, with one copy of the proceedings and/or minutes of the meetings of the NAESP Board of Directors and General Assembly.

THE ALLIED ORGANIZATION AGREES TO:

1. Support NAESP's goals, Platform and purposes as set forth by the NAESP Board of Directors and Bylaws.
2. Include the phrase, "allied with NAESP," on mastheads of publications and letterhead.
3. Notify NAESP's headquarters office of the names, addresses and telephone numbers of all of the allied organization's officers, editors, and chairpersons of its committees, and, within thirty (30) days, of any changes thereto.

Policy Statement 1300.1 Allied Organization Agreement (Cont.)

4. Supply NAESP's headquarters office with one copy of all magazines, newsletters, notices, membership promotion materials and other publications produced or distributed by the allied organization.

Either party may terminate this agreement by giving the other party thirty (30) days' advance written notice of termination.

FOR NAESP:

FOR ALLIED ORGANIZATION:

President

President

Executive Director

Executive Director

Date

Date

Procedures

1. The organization seeking allied organization status shall apply to the NAESP Board of Directors.
2. The NAESP Board of Directors shall review the application and determine appropriate action.
3. The Executive Director shall execute all necessary forms and agreements after action by the Board of Directors.

Authority Level

Action

Applicant

Complete necessary application procedures.

Board of Directors

Approve or disapprove affiliation.

Executive Director
Directors

Execute all necessary forms and agreements after action by the Board of

AFFILIATION

Policy Statement 1300.2 Procedures for Challenging a State Association's Affiliation with NAESP

The recognized state association shall be the state organization that has the largest number of Association members. (NAESP Bylaws, Article VI, Section 1).

NAESP may enter into an affiliation agreement with a recognized state association, hereinafter referred to as a "state affiliate." An autonomous state organization of elementary and/or middle level principals may challenge a recognized state affiliate if it can show evidence that it has more NAESP members than does the recognized state affiliate. The Board of Directors shall consider the challenge and decide upon the state affiliate organization to be recognized.

Scope of Policy

Establishes the procedures whereby an autonomous organization of elementary and/or middle level principals may challenge a currently recognized NAESP state affiliate in order to gain said recognition for the challenging organization.

Guidelines for Implementation

An autonomous organization of elementary and/or middle level principals that seeks to challenge a currently recognized NAESP state affiliate shall request consideration for recognition by the NAESP Board of Directors in accordance with the following procedures.

Procedures

1. The autonomous organization must submit to the NAESP Executive Director a written challenge request seeking recognition as the NAESP state affiliate. The written challenge request must provide substantiating documentation, including:
 - a letter from the autonomous organization's Executive Director or President stating the reasons for the request;
 - the autonomous organization's Articles of Incorporation and Bylaws;
 - the official minutes of the meeting that documents action taken by the autonomous organization's board of directors to request recognition as an NAESP state affiliate; and
 - a state affiliation agreement which the autonomous organization has signed and tendered to NAESP as part of the application process, with the understanding that the affiliation agreement will not become effective until signed by NAESP after Board action.

Policy Statement 1300.2 Procedures for Challenging a State Association's Affiliation with NAESP (Cont.)

2. Upon receipt at NAESP headquarters of the challenge request from an autonomous organization, NAESP's Executive Director shall immediately notify the Executive Director and President of the currently recognized NAESP affiliate and provide relevant NAESP policies and procedures that must be followed related to the challenge.
3. Within 30 days of the date of receipt of the challenge request at NAESP headquarters, both the autonomous organization and the currently recognized NAESP affiliate must submit a roster of their current NAESP members (Active, Institutional Active, Emeritus and Life) to the NAESP Executive Director.
4. NAESP staff will conduct an audit of the membership records to verify the total number of NAESP members (Active, Institutional Active, Emeritus and Life) for each organization.
5. Based upon information provided by both organizations and subsequent analysis by NAESP staff, a summary report will be prepared by NAESP staff for presentation to the NAESP Board of Directors at their next regularly scheduled Board meeting.
6. The Board of Directors will then review all pertinent information and take action to acknowledge the new state affiliate if the Board, in its sole discretion, determines: (1) the verified membership counts for each respective state organization show the challenging organization has the most NAESP members; (2) the new state affiliate has tendered a signed membership "Affiliation Agreement" with NAESP as stipulated in Policy Statement 1200.1; and (3) there is a reasonable expectation that the new state affiliate will work diligently to increase membership in cooperation with NAESP. The Board's decision and action shall be final.
7. The NAESP Executive Director will notify both organizations immediately, regarding any action taken by the Board and explain the transition process, if applicable.
8. The NAESP Executive Director will notify all current members of NAESP in the respective state regarding the status of NAESP's recognized state affiliate and encourage their membership in both the recognized state affiliate and NAESP.

Authority Level

Action

In accordance with procedures as stipulated above.

In accordance with procedures as stipulated above.

IRS GOVERNANCE POLICIES

Policy Statement 1400.1 Conflict of Interest

This Conflict of Interest Policy of the Association: (1) defines conflicts of interest; (2) identifies classes of individuals within the Association covered by this policy; (3) facilitates disclosure of information that may help identify conflicts of interest; and (4) specifies procedures to be followed in managing conflicts of interest.

Scope of Policy

This policy explains conflicts of interest issues and defines the related procedures to follow.

Guidelines for Implementation

1. **Definition of conflicts of interest.** A conflict of interest arises when a person in a position of authority over the Association may benefit financially from a decision he or she could make in that capacity, including indirect benefits such as to family members or businesses with which the person is closely associated. This policy is focused upon material financial interest of, or benefit to, such persons.
2. **Individuals covered.** Persons covered by this policy are the Association's officers, directors, chief employed executive and chief employed finance executive.
3. **Facilitation of disclosure.** Persons covered by this policy will annually disclose or update to the President of the Board of Directors on a form provided by the Association their interests that could give rise to conflicts of interest, such as a list of family members, substantial business or investment holdings, and other transactions or affiliations with businesses and other Associations or those of family members.

Procedures to manage conflicts

For each interest disclosed to the President of the Board of Directors, the President will determine whether to: (a) take no action; (b) assure full disclosure to the Board of Directors and other individuals covered by this policy; (c) ask the person to recuse himself or herself from participation in related discussions or decisions within the Association; or (d) ask the person to resign from his or her position in the Association or, if the person refuses to resign, become subject to possible removal in accordance with the Association's removal procedures. The Association's chief employed executive (executive director) and chief employed finance executive will monitor proposed or ongoing transactions for conflicts of interest and disclose them to the President of the Board of Directors in order to deal with potential or actual conflicts, whether discovered before or after the transaction has occurred.

Authority Level

Action

President

Conflicts of interest will be disclosed to the President, whereupon he/she will decide what action to take, if any, as defined in Procedures, above.

IRS GOVERNANCE POLICIES

Policy Statement 1400.2 Whistleblower

This Whistleblower Policy of the Association: (1) encourages staff and volunteers to come forward with specific and credible information on illegal practices or serious violations of adopted policies of the Association; (2) specifies that the Association will protect the person from retaliation; and (3) identifies where such information can be reported.

Scope of Policy

Ensures the Board encourages the reporting of illegal activities and enforces the protection of the whistleblower from retaliation.

Guidelines for Implementation

Section 1. Reporting is Encouraged. The Association encourages complaints, reports or inquiries about illegal practices, unlawful activity or serious violations of the Association's policies, including illegal or improper conduct by the Association itself, by its leadership, or by others on its behalf. Appropriate subjects to raise under this policy would include fraudulent financial reporting, accounting or audit matters, possible fraudulent or dishonest use or misuse of resources or property, ethical violations, or other similar illegal or improper practices or policies. The complaints, reports or inquiries should be made in good faith.

Other subjects on which the Association has existing complaint mechanisms should be addressed under those mechanisms, such as raising matters of alleged discrimination or harassment via the Association's human resources channels, unless those channels are themselves implicated in the wrongdoing. This policy is not intended to provide a means of appeal from outcomes in those other mechanisms.

Section 2. Protection from Retaliation. The Association prohibits retaliation by or on behalf of the Association and its officers and management against staff or volunteers for making good faith complaints, reports or inquiries under this policy or for participating in a review or investigation under this policy. This protection extends to those whose allegations are made in good faith but prove to be mistaken. The Association reserves the right to discipline persons who make bad faith, knowingly false, or vexatious complaints, reports or inquiries or who otherwise abuse this policy.

Section 3. Where to Report. Complaints, reports or inquiries may be made under this policy on a confidential or anonymous basis. They should describe in detail the specific facts demonstrating the bases for the complaints, reports or inquiries. They should be directed to the Association's Executive Director; if the Executive Director is implicated in the complaint, report or inquiry, it should be directed to the President of the Association. The Association will conduct a prompt, discreet, and objective review or investigation. Staff and volunteers must recognize that the Association may be unable to fully evaluate a vague or general complaint, report or inquiry that is made anonymously. Therefore, you may decide to identify yourself when submitting the complaint, report or inquiry.

Policy Statement 1400.2 Whistleblower (Cont.)

Procedures

See the guidelines above.

Authority Level	Action
Executive Director	Accepts complaints or inquiries about alleged illegal activities and protects the whistleblower from retaliation.
President	If the Executive Director is implicated in the complaint, report or inquiry, the matter should be directed to the President, who will accept the matter and protect the employee from retaliation.

IRS GOVERNANCE POLICIES

Policy Statement 1400.3 Document Retention and Destruction

This Document Retention and Destruction Policy of the Association identifies the record retention responsibilities of staff, volunteers, members of the Board of Directors, and outsiders for maintaining and documenting the storage and destruction of the Association's documents and records.

Scope of Policy

This policy describes official Association-wide practices regarding document retention and destruction.

Guidelines for Implementation

1. **Rules.** The Association's officers, staff, volunteers, members of the Board of Directors and outsiders (i.e., independent contractors via agreements with them) are required to honor these rules: (a) paper or electronic documents indicated under the terms for retention below will be transferred and maintained by the Human Resources or Administrative staffs/departments or their equivalents; (b) all other paper documents may, but need not be destroyed after three years; (c) all other electronic documents may, but need not be deleted from all individual computers, data bases, networks, and back-up storage after five (5) year(s); and (d) ***no paper or electronic documents will be destroyed or deleted if pertinent to any ongoing or anticipated government investigation or proceeding or private litigation.***

2. Terms for retention.

a. Institutional and Legal Records

Articles of Incorporation and amendments	Permanently
Charter	Permanently
Bylaws and amendments	Permanently
Minutes of Board of Directors Meetings	Permanently
Other governance records	Permanently
Annual Reports	Permanently
Deeds and titles	Permanently
Copyright registration certificates	Permanently
Assignment of copyright by Committee members	Permanently
Patent and trademark records	Permanently
Manual of procedures, policies or standards	Permanently
Documentation of relationships with subsidiaries and parent companies	Permanently
Reorganization records	Permanently
History of the Association	Permanently
Licenses	While active + 2 years
Leases	While active + 6 years
Contracts and agreements	While active + 6 years
Board committee assignments	While active + 6 years

Committee assignments	While active + 6 years
Legal opinions rendered by a government agency or by legal counsel	Permanently
Official copy of educational or information program material made available to the public	Permanently
Official copy of publication, including newsletter, journal, press release, published report or bulletin	Permanently
Speeches (historic)	Permanently
Photographs (historic)	Permanently

b. Employment

Job announcements and advertisement	1 year
Employment applications (if not hired)	3 years
Employment applications	While active + 3 years
Background investigation results	While active + 3 years
Resumes	While active + 3 years
Medical examinations	While active + 3 years
Letters of recommendation	While active + 3 years
Employee grievance action case file	7 years after resolution

c. Payroll Records

Wage and salary history	6 years
Current salary or rate of pay	While employed + 3 years
Payroll deductions	6 years
Time cards or sheets	5 years
W-2 Forms	6 years
W-4 Forms	6 years
SS-8 Form (or independent contractor/employee determination)	While on that job + 3 years
Garnishments	While active + 4 years
Payroll register	6 years
State employment form	4 years
Notices of employment security claims	4 years
Workers compensation claims	10 years after resolution
Form 941	6 years
Form 945	6 years

d. Personnel Files

Employment application and/or resume	While active + 3 years
Employment history	While active + 3 years
Beneficiary designation	While active + 3 years
Medical records	While active + 3 years
Promotions/demotions	While active + 3 years
Disciplinary warnings	While active + 3 years
Attendance records	While active + 3 years
Employee evaluations	While active + 3 years
Transfers	While active + 3 years
Layoff or termination	While active + 3 years
Employment eligibility verification (I-9 Form)	While active + 3 years
Incentive plans	6 years after expiration

Pension plans	Permanently
Retirement plans	Permanently
Savings plans	6 years after expiration

e. Tax Records

Form 990 and support Form 990-T	Permanently
IRS exemption application and determination	Permanently
State tax exemption and determination	Permanently
Sales tax applications & exemption (state & local)	Permanently

f. Revenue Records

Accounts receivable	7 years
Accounts receivable subsidiary ledgers	7 years
A/R fiscal year-end report	7 years
Receipts	7 years
Uncollected accounts	While active + 7 years
Cash books	Permanently

g. Accounts Payable Records

Processed/paid purchase orders	7 years
Original invoice	7 years
Expense reports	7 years
Accounts payable reports	7 years
Accounts payable paid reports	7 years
1099 and 1042 reports	7 years
A/P check registers	7 years

h. Bank Records

Bank statements	7 years
Deposit records	7 years
Bank reconciliations & support	7 years
Cancelled checks	7 years
Wire transfer records	7 years

i. Capital Property Records

Property records (including basis)	While active + 10 years
Inventory	While active + 10 years
Depreciation schedules	Permanently
Mortgages, bonds and other long-term debt records	Permanently
Property improvement records	Permanently
Sales of capital property	While active + 10 years
Property tax exemption	Life of property + 10 yrs
Property appraisals by outside appraisers	Permanently
Property records, including costs, blue prints & plans	Permanently

j. Financial Records

Description of accounting system (including changes)	Permanently
Chart of accounts (including changes)	Permanently
General ledgers and operating ledgers	Permanently

Subsidiary ledgers	While active + 7 years
Account reconciliations	While active + 7 years
Annual financial report (audited or unaudited) including reconciliation with IRS records	Permanently
Audit reports and work papers	Permanently
Internal audit reports	While active + 7 years
Unclaimed property records (including state reports)	While active + 7 years
Securities transactions	7 years

k. Budget Records

Annual Budget: official copy	Permanently
Budget task force records & support	3 years
Budget entries	3 years
Budget variance reports	3 years

l. Facilities Records

Building permits	Permanently
Building plans and specifications	Permanently
Office layouts	While active
Zoning permits	Permanently
Operating permits	While active
Maintenance records	While active + 10 years
Motor vehicle records	While active

m. Litigation Records

Claims	While active + 7 years
Court documents and records	While active + 7 years
Deposition transcripts	While active + 7 years
Discovery materials	While active + 7 years
Litigation files	While active + 7 years
Occupational injury or illness records	7 years
Settlement of claims or suits	Permanently

n. Insurance Records

Property insurance policies	Life of property + 15 yrs
Liability insurance policies	Life of property + 15 yrs
Insurance claim documents	Permanently

o. Member and Membership Records

Regular Member Records (Active, Institutional Active, Emeritus, and Life Members)	While active + 20 years
Special Categories of Membership (Aspiring, Retired, Institutional, Associate, and International)	While active + 5 years
Membership Agreements with Affiliated State Associations	While active + 10 years

p. Miscellaneous Categories

Correspondence, general	3 years
Meeting schedules and information	3 years

Organization files	Retain until superseded
Telephone messages, voice mail, logs	Administrative
Calendars for executive staff	3 years
Consultant reports	While active + 3 years
Emergency Plan	2 years after superseded
Grant program file	7 years after renewal of grant or denial of application
Warranties for equipment or fixtures	While property in use + 5 years
Warranties for the building or building remodeling	Permanently
Government relations & lobbying records	10 years
Electronic Backup Files	Administrative

3. **Exceptions.** Exceptions to these rules and terms for retention may be granted only by the Association's Executive Director or President of the Board.

Procedures

See the guidelines above.

Authority Level

Action

Executive Director

Oversees the practices of the Association regarding the retention of official Association documents.

IRS GOVERNANCE POLICIES

Policy Statement 1400.4 Compensation of Executives, Officers and Key Employees

This Policy on the Process for Determining Compensation of the National Association of Elementary School Principals applies to the compensation of the following persons employed by the Association:

- X The Association's Executive Director
- X Other Officers or Key Employees of the Association, by Title:
The Association's Deputy Executive Director

Scope of Policy

This policy covers the compensation process, which shall include all of these elements: (1) review and approval by the Board of Directors or Finance Committee of the Association; (2) use of data about comparable compensation; and (3) contemporaneous documentation and recordkeeping.

Guidelines for Implementation

1. **Review and approval.** The compensation of the person shall be reviewed and approved by the Board of Directors or the Finance Committee of the Association, provided that persons with conflicts of interest with respect to the compensation arrangement at issue shall not be involved in the review and approval.
2. **Use of data about comparable compensation.** The compensation of the person is reviewed and approved using data about comparable compensation for similarly qualified persons in functionally comparable positions at similarly situated organizations.
3. **Contemporaneous documentation and recordkeeping.** There is contemporaneous documentation and recordkeeping of the deliberations and decisions regarding the compensation arrangement.

Procedures

See the guidelines above.

Authority Level

Action

President	Oversees the implementation of the process for review and approval, by the Board of Directors, of compensation arrangements for the Association's Executive Director and Deputy Executive Director. If a key employee meets the three tests stated by the IRS, then the key employee's compensation will also be reviewed and approved by the Board of Directors.
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IRS GOVERNANCE POLICIES

Policy Statement 1400.5 Joint Venture

This Joint Venture Policy of the National Association of Elementary School Principals requires that the Association evaluate its participation in joint venture arrangements under Federal tax law and take steps to safeguard the Association's exempt status concerning such arrangements.

Scope of Policy

This policy applies to joint ownership or contractual arrangements through which there is an agreement to jointly undertake a specific business enterprise, investment, or exempt purpose activity as further defined in this Policy.

Guidelines for Implementation

1. *Joint ventures or similar arrangements with taxable entities.* For purposes of this Policy, a joint venture or similar arrangement (or "venture or arrangement") means any joint ownership or contractual arrangement through which there is an agreement to jointly undertake a specific business enterprise, investment, or exempt purpose activity without regard to: (1) whether the Association controls the venture or arrangement; (2) the legal structure of the venture or arrangement; or (3) whether the venture or arrangement is taxed as a partnership or as an association or corporation for federal income tax purposes. A venture or arrangement is disregarded if it meets both of the following conditions:

- (a) 95% or more of the venture's or arrangement's income for its tax year ending with or within the Association's tax year is excluded from unrelated business income taxation (UBIT), including but not limited to: (i) dividends, interest, and annuities; (ii) royalties; (iii) rent from real property and incidental related personal property except to the extent of debt-financing; and (iv) gains or losses from the sale of property; and
- (b) the primary purpose of the Association's contribution to, or investment or participation in, the venture or arrangement is the production of income or appreciation of property.

2. *Safeguards to ensure exempt status protection.* The Association will: (a) negotiate in its transactions and arrangements with other members of the venture or arrangement such terms and safeguards adequate to ensure that the Association's exempt status is protected; and (b) take steps to safeguard the Association's exempt status with respect to the venture or arrangement. Some examples of safeguards include:

- (a) control over the venture or arrangement sufficient to ensure that it furthers the exempt purpose(s) of the Association;
- (b) requirements that the venture or arrangement gives priority to exempt purposes over maximizing profits for the other participants;
- (c) that the venture or arrangement not engage in activities that would jeopardize the Association's exemption; and

Policy Statement 1400.5 Joint Venture (Cont.)

(d) that all contracts entered into with the Association be on terms that are at arm's length or more favorable to the Association.

Procedures

See the guidelines above.

Authority Level

Action

Executive Director

Oversees the evaluation of the Association's participation in joint venture arrangements and takes steps to safeguard NAESP's tax exempt status.

IRS GOVERNANCE POLICIES

Policy Statement 1400.6 Meeting Minutes

It is the policy of the Association that its Board of Directors and every Committee with authority to act on behalf of the Board of Directors (which ordinarily do not include advisory boards) shall contemporaneously document meetings by keeping minutes or other writings that document each meeting held and each written action taken by the Board or such Committee.

Scope of Policy

This policy asserts the regular recording of minutes of the meetings of the Board of Directors and the meetings of the Nominating Committee, Resolutions Committee, Membership Committee and any Committee with authority to act on behalf of the Board of Directors.

Guidelines for Implementation

Documentation may include approved minutes, e-mails, a unanimous written consent in lieu of a meeting, or similar writings that explain the action taken, when it was taken and who made the decision.

For this purpose, contemporaneously means by the later of:

1. the next meeting of the Board or Committee (e.g., approving the minutes of the prior meeting); or
2. sixty (60) days after the date of the meeting or written action.

Procedures

See the guidelines above.

Authority Level	Action
Board of Directors	Requires, documents, and approves written minutes of all Board meetings.
Certain Committees	Produce minutes of meetings and share with designated NAESP staff.
Designated Staff	Will keep meeting minutes on file at NAESP Headquarters.

MISCELLANEOUS

Policy Statement 1500.1 NAESP Policies Adoption and Affect

The NAESP Board of Directors is the adopter of the NAESP Policies and reserves to itself the exclusive authority to modify, amend, make exceptions to, suspend (temporarily or permanently), and overrule them; and the authority to adopt additional Policies. One Board of Directors cannot restrict the power of a future Board of Directors to apply or change the Policies. The Policies are not a contract and do not give members a remedy if they are not followed.

NAESP Officers, staff and individual members shall follow the Policies to the best of their abilities.

Scope of Policy

Provides a general statement concerning the NAESP Policies adopted by the Board of Directors.

Guidelines

NAESP is governed by the District of Columbia statutes, NAESP's Articles of Incorporation, and its Bylaws. In addition, in order to maintain its tax exempt status, NAESP's activities are partially restricted by federal tax laws and the IRS regulations and policies on tax-exempt organizations. The NAESP Policies are subordinate to these and are intended to be interpreted as consistent with them and in such a manner as to maintain NAESP's tax-exempt status. The Policies cover several areas of NAESP governance, operations and management. Among other things, they provide detailed guidance and procedures for elections and in several other governance areas.

The Board of Directors developed the Policies over a period of years and it periodically revises and updates them.

Procedures

1. Officers, staff and members shall follow and comply with the directives and procedures stated in the Policies.
2. The Board of Directors reserved to itself the exclusive authority to modify, amend, make exceptions to, suspend (temporarily or permanently), and overrule the Policies; and the authority to adopt additional Policies.

Authority Level

Action

Board of Directors

Adopts, amends, suspends, etc., its Policies.

Officers, Staff and Members

Follow the Policies to the best of their ability.

MISCELLANEOUS

Policy Statement 1500.2 Proxy from NAESP State Representative

The following form of proxy is acceptable if completed and signed:

PROXY

The undersigned, being the duly selected NAESP State Representative of the State of _____, hereby grants his/her proxy to* _____, for the purpose of a quorum and voting on any and all matters at the General Assembly of the National Association of Elementary School Principals, to be held on _____, 201____, or any continuance thereof. The proxy shall expire at the end of said meeting or any continuance thereof.

NAESP State Representative

Date: _____

(Printed name)

WITNESS:

Date: _____

(Printed name)

*Insert in the blank space the full name (not the title) of the individual to whom the proxy is given.