



National Association of
Elementary School
Principals

*Serving All Elementary &
Middle Level Principals*

NAESP Board of Directors Manual

revised August 2021



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NAESP Bylaws

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SECTION 1

NAESP Board Reference

INTRODUCTION

This manual serves as a guide for new Board members and as a convenient reference for all Board members during their tenure in office.

The following definitions are offered to clarify terms used in the manual:

Officers: President, President-elect, Vice President

Steering Committee: Officers and Executive Director

Board of Directors: Officers, Zone directors, Members-at-Large

Ex-officio members: Executive Director and Foundation CEO

A summary of the interrelationship of the Board of Directors to NAESP is presented in this manual, updated yearly for the summer board meeting.

Overview

(excerpts from Board Responsibilities, 7-09 © RCH Robert C. Harris, CAE)

Serving on the Board of Directors is a rewarding and important responsibility.

Unique aspects of governing a not-for-profit organization:

"The board governs... the staff manages."

Leadership: Volunteer leaders are responsible for the *direction* of the organization. The board governs, develops policy and set a course for the future. Maintain focus on the mission and strategic goals—avoid micro-managing the organization and staff. Functions:

- Governance
- Policy and Position Development
- Visionary—Future Focus
- Fiduciary

Management: Paid staff and contractors are responsible for the *administration* of the organization. Staff act as partners to the board, advancing the goals and strategies, while taking care of the daily administrative needs unique to nonprofit organizations.

Unique Terminology

Not-for-Profit refers to the legal corporate status of the organization. (It does not imply an exemption from paying or collecting *state sales tax*). **Nonprofit** is the casual reference to Not-for-Profit.

Exempt Organization is a reference to the IRS designation exempting the organization from paying most federal income tax (with the exception of **UBIT – Unrelated Business Income Tax**).

IRS 501(c)(3) designation most often is referring to organizations with a religious, charitable, scientific or educational purpose. The NAESP Foundation is a 501(c)(3) organization.

IRS 501(c)(6) designation refers to trade associations, business leagues and professional societies. NAESP is a 501(c)(6) organization.

Insurance and Volunteer Immunity

State and federal governments afford certain protection to volunteer leaders. While the volunteer may have some protection, the organization is still open for legal suits. Insurance coverages add further protection for volunteers and the organization.

General Liability insurance covers property damages and injuries relating to the organization.

Directors and Officers (D&O) Liability Coverage may cover legal defense for employment, copyright, and antitrust claims, for instance.

Fidelity Bond covers loss resulting from fraudulent or dishonest acts committed by an employee.

Legal Principles

Duty of Care requires leaders to use reasonable care and good judgment in making their decisions on behalf of the interests of the organization.

Duty of Loyalty requires leaders to be faithful to the organization, avoiding conflicts of interest.

Duty of Obedience requires leaders to comply with governing documents (i.e., bylaws, articles of incorporation, policies, etc.).

Rules of Order

Agenda—ensures that important business is covered and discussions are on topic.

Motions—are proposals for action, beginning with "I move we ..."

A **Second**—is required for the motion to be discussed.

Amendments—may be made to most motions if they improve the intent or clarify the original motion.

Tabling—lays the motion aside.

Calling the Question—refers to ending the discussion and voting on the motion.

Voting—is the official action after discussion to adopt, amend, kill or table the motion.

Minutes—protect the organization by recording the time and location of the meeting, participants, and the outcome of the motions. They are not a place to record conversations, assignments, reports, etc. (Including reports and discussions can incriminate.)

Quorum—is the number of directors required to conduct business.

Board Responsibilities

1. Determine and advance the organization's mission and purposes.
2. Select the executive director (not staff).
3. Support the executive director and assess performance periodically.
4. Ensure effective organizational planning.
5. Ensure adequate resources (funds, time, volunteers, staff, technology, etc.).
6. Provide resource and financial oversight.
7. Determine, monitor and enhance programs and services.
8. Promote the organization's public image.
9. Ensure legal and ethical integrity and maintain accountability.
10. Recruit and orient new board members; assess board performance.

~Treat all information with confidentiality.~

(Adapted from *Ten Responsibilities of Nonprofit Boards*, www.BoardSource.org)

Committees

“Committees recommend -> board approves -> staff and volunteers implement.”

NAESP Bylaws stipulate specific committees:

Article V, Officers, Section 2 (**Steering** Committee:

Board officers and executive director as ex-officio member)

Article VIII, Committees (**Nominating, Membership, Resolutions:** governance committees)

Also in Article VIII, Committees, the Bylaws allow the establishment of other committees (**Special**)

See Area 400 of the Board Policies for details:

AREA 400 - COMMITTEES

Policy Statement	400.1 Committee Membership
Policy Statement	400.2 Types and Structures of NAESP Committees
Policy Statement	400.3 Standing or Governance
Policy Statement	400.4 Nominating Committee
Policy Statement	400.5 Guidelines for Nominating Committee
Policy Statement	400.6 Resolutions Committee
Policy Statement	400.7 Membership Committee
Policy Statement	400.8 Special Committees

Board Membership Common Sense

Prepare for meetings; read, read, read!

Respect the chair, agenda and rules of order.

Bring a calendar; start and end on time.

Know the mission and goals.

Listen more than you speak.

Check personal and political agendas at the door.

Respect confidentiality.

Do not speak for the organization
without authority to do so.

Support the board; don't bad-mouth any action or
person (dissenting votes may be noted in the
minutes, not outside the meeting).

Scrutiny of Nonprofits

In response to corporate scandals, government has increased scrutiny of boards of directors. Sarbanes Oxley (SOX) was adopted in 2002. In 2008 the SOX requirements were applied to nonprofits. Boards are expected to maintain their accountability, independence and transparency while governing. Policy questions in IRS Form 990 include:

- Audit and Audit Committee
- Whistleblower
- Compensation
- Document Destruction
- Conflict of Interest
- Public Records

See NAESP Board Policy **Area 1400 – IRS COMPLIANCE.**

Risk Management (Insurance)

Directors and Officers Liability Coverage

The key distinction with directors' and officers' liability is that it is intended to cover wrongful acts that are "intentional" as opposed to "negligent." This is because directors and officers insurance is designed to cover actions and decisions of the board of directors. These actions may be in error and wrong, but they are, nonetheless, "intentional" acts. Most other types of insurance do not cover "intentional" acts. Among the items a good directors and officers policy should include is broad coverage for all types of employment related actions, including wrongful termination, harassment, discrimination, failure to hire, etc. It should also pay defense costs as they are incurred, not on a reimbursement basis.

General Liability Coverage

This is typically the "core" coverage for a nonprofit. The most common occurrence covered by the policy is "slip and fall." Depending on the extent of the general liability coverage purchased, commercial general liability insurance may provide coverage for a wide range of negligent acts, which result in bodily injury, personal injury, advertising injury or property damage to a third party. It does not cover damage to property under your control.

Employee Dishonesty – Fidelity Bond

This covers loss resulting directly from one or more fraudulent or dishonest acts committed by an employee whether acting alone or in collusion with others. Losses due to employee dishonesty are different from other losses making it difficult to determine the amount of insurance to carry. Loss of unrecorded assets could result from the following activities: theft from a cash register; pocketing money for which a receipt has not been given; padding of expense accounts; overcharging of fees for services; and walking off with assets.

RULES OF ORDER: Fundamentals of Parliamentary Procedure

1. OBTAINING THE FLOOR

- (a) Before you may address an assembly, the presiding officer must recognize you.
- (b) You must speak from a standing position; and address yourself to the Chairman.

2. MAKING MOTIONS

- (a) Before a proposal or subject matter may be discussed by the group, you must make a formal motion which requires a "second."
- (b) The purpose of the requirement of a "second" is to assure the assembly that more than one person is interested in the proposal.
- (c) If there are no objections to the consideration of this proposal, the entire assembly will discuss it and make a determination.
- (d) In making a motion, you begin by saying, "Mr. Chairman (or Madame Chairman), I move that....." And then state your proposal clearly either in writing or orally.

3. AMENDING THE MOTION

- (a) This technique is used when one wishes to add to, subtract from or alter a motion that another has made.
- (b) In most instances, a "second" is required when offering an amendment.
- (c) Another may rise to amend the amendment. This technique is in order.
- (d) It should be remembered that there are only primary and seconded amendments.
- (e) A motion can be amended only to the second degree. One may offer an amendment to a pending amendment and that is all that is permissible at one time.
- (f) In other words, more than two amendments to a motion may not be pending at one time.

4. POINT OF INFORMATION

- (a) If an issue becomes too involved, one may seek a clarification by means of a motion called "a point of information."

5. DIVISION OF THE QUESTION

- (a) It is quite possible that a proposal may entail two or more subjects. As a member of the assembly, you can ask that each part be considered separately.

6. POINT OF ORDER

- 7. (a) This motion is used when there is a violation in parliamentary procedure. You simply rise and address the chair with the words, "I rise to a point of order." (Then you state your point.) The Chairman will recognize you.

8. ORDERS OF THE DAY

- (a) This is a privileged motion and is used when there is a digression from the agenda. When a meeting goes off on a tangent simply rise and make a "call for the orders of the day." The Chairman will then recognize you.

9. AN APPEAL FROM THE DECISION OF THE CHAIR

- (a) If you as a member of the assembly disagree with a decision of the presiding officer, you can appeal this decision when seconded.
- (b) You simply rise and move to appeal the decision of the Chair.
- (c) The presiding officer then puts the question to the assembly whether to sustain or overrule his decision.

10. MOTION TO LIMIT DEBATE

- (a) To prevent a discussion from dragging on endlessly, one can make a motion to limit each speaker's time, or to limit the number of speakers, or the length of the debate.
- (b) A two-thirds vote of the membership is necessary to approve this motion.
- (c) The converse motion is to extend debate. The same requirements prevail.

11. MOTION TO REFER

- (a) When a member of the assembly believes that further study to a proposal is advisable, he moves that the pending question be referred to an appropriate committee for review.

12. ENDING DEBATE

- (a) Where a member of the assembly feels that the pending motion has been thoroughly discussed, he may move to terminate debate by a motion called "the previous question."
- (b) He simply rises and addresses the Chair and says, "I call for the previous question."
- (c) A second is required for this motion.
- (d) A two-thirds vote is necessary for its adoption.

13. MOTION TO TABLE

- (a) This motion means to temporarily put aside the pending motion to consider other business.
- (b) The member rises and addresses the chair by saying, "I move that the motion be laid on the table."
- (c) A second is required for this motion.
- (d) The converse motion is to "take from the table."
- (e) These two motions are not debatable.

14. MOTION TO POSTPONE DEFINITELY

- (a) A member of the assembly can propose that a pending motion, report, or resolution be postponed to a fixed future time, or until the next meeting.
- (b) A motion to postpone indefinitely is the converse motion. Such a motion generally is employed to "kill" the main motion.

15. DIVISION OF THE HOUSE

- (a) If a member doubts the accuracy of a "voice vote" (viva voce), he may call for a "Division of the house."
- (b) The vote is then taken by asking the members to stand, or raise their hands.
- (c) Polling the House.

16. MOTION TO ADJOURN

- (a) This motion is used to terminate the deliberations.
- (b) This motion may be offered at any time.
- (c) The time and place of the next meeting should be specified in the motion.

SECTION 2

NAESP General Information

NAESP Staff List

(As of August 2021)

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Roles and Responsibilities of the NAESP Executive Team

NAESP President

- Drives vision, mission, goals of the Association
- Shares leadership for advancing advocacy and support efforts on behalf of principals and children
- Presides over all official meetings of NAESP
- Serves as a key spokesperson for the profession
- Serves as a primary keynote presenter representing NAESP and the profession
- Lead ambassador for national and international outreach efforts
- Provides guidance and direction to chief staff officers on behalf of the NAESP Board of Directors
- Serves as a role model and mentor for incoming officers and board members
- Fulfills all other duties of position as required by Bylaws and Policies.

NAESP Executive Director

- Drives overall advocacy, policy, and membership agenda
- Drives overall organizational development and performance
- Drives research and development efforts
- Provides overall strategic leadership and management of staff
- Oversees the development and implementation of business, strategic, and operational action plans
- Oversees the development of human resources and the use of financial resources
- Builds strategic alliances with other organizations and businesses – nationally and internationally
- Serves as a key liaison with the media
- Serves as an ex-officio member of the NAESP Board of Directors
- Serves as President of the NAESP Foundation
- Serves as board member of the Learning First Alliance
- Serves as a board member of the National Council for the Accreditation of Teacher Education (NCATE)
- Serves as treasurer of the National Policy Board for Educational Administration
- Serves as an advisor to the National Board for Professional Teaching Standards (NBPTS) for the Advanced Certification of Educational Leaders (ACEL)
- Represents NAESP in the Trust for Insuring Educators
- Provides overall leadership and guidance for Office Staff and Teams, including:
 - Governance
 - Professional Learning & Outreach
 - Administration and Finance
 - Communications
 - Advocacy
 - Membership, Development, and Affiliated Services
- Works closely with NAESP President and officers to actualize NAESP's vision, mission, and goals.

NAESP and the NAESP FOUNDATION

Board members are encouraged to become familiar with information presented in the NAESP Fact Sheet and the NAESP Foundation Fact Sheet. The fact sheets are used in public relations efforts to provide basic information about NAESP and the Foundation to the media.

NAESP is a nonprofit 501(c)(6) professional organization. The NAESP foundation is a 501(c)(3) (nonprofit, tax-exempt) organization and as such represents the charitable arm of NAESP. Because of its tax status, corporations may provide funds for educational programs through the Foundation. Thus, the Foundation serves as a vehicle for attracting corporate sponsorships for many programs offered to NAESP members.

The NAESP Foundation is governed by NAESP through its Board of Directors. The Foundation Board is composed of five members:

- President (NAESP Executive Director)
- Vice-President (NAESP President)
- Secretary (NAESP President-elect)
- Treasurer (NAESP Vice President)

The Foundation Board meets regularly to review and evaluate programs and activities. Progress reports on all Foundation activities are presented to the NAESP Board at the regular Association Board meetings. The NAESP Board members play an active role in Foundation programs and details are provided as each event approaches.



About NAESP:

The mission of the National Association of Elementary School Principals (NAESP) is to lead in the advocacy and support for elementary and middle level principals and other education leaders in their commitment for all children.

Founded in 1921, NAESP is a professional organization serving elementary and middle school principals and other education leaders throughout the United States, and around the globe.

The Association believes that the progress and well-being of the individual child must be at the forefront of all elementary and middle school planning and operations. Further, NAESP members accept the challenge inherent in research findings that the development of quality education in each elementary and middle school depends on the expertise, dedication, and leadership of the principal as the primary catalysts for school improvement and student learning.

As a national organization, NAESP operates through a network of affiliated associations in every state, the District of Columbia, Canada, and overseas.

NAESP is the only national association dedicated to serving elementary and middle-level principals.

As the representative of principals, serving over 35 million children in grades pre-kindergarten through 8, the Association seeks:

- To serve as an advocate for children and youth, ensuring that education continues to be recognized as a matter of national priority.
- To be the leading voice of pre-k to grade eight principals and provide high professional standards to support effective leadership;
- To serve as a national representative and advocate for elementary and middle school education to Congress, the Executive Branch, state and federal agencies, the news media, researchers, educators, and other education and child advocacy groups;
- To heighten public awareness of elementary and middle school education as the foundation for all future academic achievement.

What We Do

- NAESP advocates for the support principals need to be successful 21st century leaders—to achieve the highest results for children, families, and communities.
- NAESP supports the continual development of its members—principals in many different stages of their careers—through benefits, and awards.
- All of our activities are designed to help principals and learning communities achieve desired results for every child.



NAESP Service Areas

- ✓ Advocacy
- ✓ Professional Learning
- ✓ Awards, Recognitions, & Student Programs
- ✓ Communications
- ✓ Membership Benefits
 - ✓ Legal
 - ✓ Affinity Programs

Advocacy - NAESP continues to lead in federal advocacy on behalf of pre-K-8 principals in the United States and worldwide. The association also works to advance the profession by developing education policy based on research and effective practice. NAESP keeps members up-to-date with all of the political decisions being made on the Hill that impact Pre-K-8 principals, their teachers, and their students.

- Advocate on Capitol Hill
- National Leaders Conference
- Advocacy Briefings
- Advocacy Update Videos
- Advocate Training Videos/Webinars
- Advocacy Podcasts
- Twitter Chats/Periscope Townhalls
- Legislative Action Center
- Federal Relations Network

Professional Learning

In-Person

- Pre-K-8 Principals Conference
- State Supported Trainings

Virtual Learning (No Cost)

- Webinar Wednesday
- Early Career Principals Webinar Series
- Assistant Principals Webinar Series
- Aspiring Principals Webinar Series
- National Panel of New Principals

Blended Learning

- NAESP Pre-K-3 Leadership Academy
- National Mentor Training and Certification Program
- National Aspiring Principals Academy (Co-sponsored by AASA)
- Centers for Advancing Leadership (Center for Innovative Leadership, Center for Middle-level Leadership, Center for Diversity Leadership, Center for Women in Leadership)



Resources and Materials (No Cost)

- The Principal's Guide to Building Culturally Responsive Schools
- New Principal Connection Brief-National Panel of New Principals
- NAESP 10 Year Leadership Study
- NAESP Afterschool and Summer Learning Web based Portal and Learning Guide
- Leading Learning Communities: A Principal's Guide to Early Learning and the Early Grades (Pre-K–3)
- Leading Pre-K–3 Learning Communities: Competencies for Effective Principal Practice
- What School Leaders Can Do To Increase Arts Education

Awards, Recognitions, & Student Programs

- National Distinguished Principals Program
- National Outstanding Assistant Principal Award,
- National Principals Resource Center
- National Principals Month
- National Assistant Principals Month

Student Engagement: American Student Council Association, President's Education Awards, American Citizenship Awards Programs, National Elementary Honor Society

Communications - Building the capacity of our nation's principals to improve school and student outcomes.

Initiatives & Key Areas:

- Mentoring
- Pre-K-3 leadership
- Early Career Principals
- Aspiring Principals
- Assistant Principals
- Leadership Pipeline (including Assistant Principals, Aspiring Principals)
- Student Wellbeing (arts education, afterschool and summer learning)
- Women in Leadership
- Diversity Leadership
- Middle-level Leadership

Publications:

- *Principal* magazine: award-winning, leadership focused magazine published 5 times a year
- Special Supplements to *Principal* magazine:
 - *Leading Lessons*-staff guide
- *Communicator*: monthly e-newsletter featuring content for principals and their staffs
- *Report to Parents*: monthly bulletin that principals can distribute to their school communities
- *Principal Insights*: bi-weekly news aggregate that features management strategies and education leadership topics
- *AP's Rising* Newsletter
- *Report to Parents*: parent bulletin
- Principals' Voices in School Equity Blog



Social Media

- Vibrant networks and engagement on:
 - Twitter
 - Facebook
 - Instagram
 - LinkedIn
- Monthly Twitter chats

Member Benefits

Liability Insurance:

- \$2 million individual professional liability coverage and up to \$10,000* for job protection legal counsel. *Benefit starts with \$1,000, with an additional \$1,000 for every year of membership up to a maximum of \$10,000.

Affinity Programs

- Office Depot/OfficeMax - Up to 75% off
- Hertz Rental Cars - Up to 25% off
- Wyndham Hotel Group - Up to 20% off
- FunJet Vacations - 5% off
- Hotel Engine - Up to 60% off
- FTD - Flowers and Gift Baskets - Ongoing Discounts
- Career Center-resource for both employers and job seekers
- American hearing benefits-provides NAESP members and their families access to free hearing consultations and significant discounts on hearing aids.
- Lenovo-NAESP members save up to 30% off the public web price of laptops, tablets, and more.
- Significantly discounted rates on insurance programs provided through Forrest T. Jones. In addition, NAESP members can be protected from identity theft with ID Shield and have access to personal legal support with Legal Shield.

Volunteer and Engagement Opportunities

Membership in the National Association of Elementary School Principals helps principals connect with peers and grow their leadership potential. As a volunteer you will:

- Forge connections with colleagues and peers;
- Enhance your leadership skills; and
- Share your expertise and leverage the expertise of others.

Volunteer opportunities are available to serve on NAESP's Board of Directors, working with your state affiliate, contributing to The Professional Learning Advisory Council (PLAC) or to NAESP's editorial advisory board. Whether you're new to the profession or have been active for years, we invite you to engage with NAESP.

NAESP Foundation Fact Sheet

The National Association of Elementary School Principals (NAESP) Foundation, founded 1982, is operated as the tax-exempt, charitable arm of the National Association of Elementary School Principals—a professional association serving more than 17,000 administrators and other educators in the United States and overseas since 1921.

The Foundation is operated exclusively for charitable and educational purposes, which include the following:

- Assisting and promoting quality educational programs for children and youth;
- Improving the quality of teaching, administration, and supervision in educational institutions;
- Engaging in research, surveys and studies to gain new knowledge of the principals and practices of education and learning, and disseminating the general public, teachers, school boards and others the knowledge thus gained;
- Engaging in educational programs, seminars, publications and otherwise to secure greater public understanding and support of education;
- Developing more effective methods of communication with the business community, general public and those interested and involved with schools;
- Gathering and disseminating information to organizations and individuals interested in improving the quality of education; and
- Extending financial aid through grants, gifts, contributions or other aid or assistance to qualified charitable and educational organizations.

The NAESP Foundation is classified by the Internal Revenue Service as a 501 (c) (3) organization.

1615 Duke Street • Alexandria, VA 22314-3 483

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Highlights and Milestones in NAESP History

1921: Fifty-one elementary school principals meet in Atlantic City to formally establish the Department of Elementary School Principals (DESP) of NEA. The first convention is held; annual dues are \$2.

1924: Jessie Fink is the first woman president.

1931: Eva G. Pinkston becomes the first Executive Secretary of the DESP of NEA.

1950: Robert W. Eaves named as second Executive Secretary.

1955: DESP holds its first independent annual meeting in Chicago with about 1,800 attendees.

1965: DESP passes a resolution calling on state and local associations of elementary school principals to “remove all restrictive membership requirements related to race.”

1969: The executive committee votes to change its relationship with the NEA from departmental to affiliate status, amending the name to the National Association of Elementary School Principals, NEA.

William L. Pharis is named third executive director.

1971: NAESP observes its 50th anniversary.

1973: NAESP formalizes its separation from NEA by adopting new bylaws that provide for a Delegate Assembly and a Board of Directors elected by geographic zones.

1974: The Delegate Assembly meets for the first time at the national convention, where it approves the NAESP platform, affiliation applications from 42 state associations, and a recommendation for a federal relations division.

Winston E. Turner is elected NAESP president. He is the Association’s first African-American president.

1975: The Federal Relations Program is initiated as a nationwide network of principals to encourage members to take action on critical education measures.

1977: NAESP introduces the Legal Assistance for Principals (LAP) program to provide financial assistance to principals facing job-related and professional liability actions.

1980: The DESP’s *Bulletin* is renamed to *Principal* magazine.

1981: Samuel G. Sava is named fourth Executive Director.

1982: The NAESP Foundation is created.

1984: The National Distinguished Principals program is established to recognize outstanding elementary and middle-level principals.

1985: NAESP builds its first headquarters building at 1615 Duke Street, Alexandria, VA.

1996: NAESP celebrates its 75th anniversary.

1997: NAESP assists the Interstate School Leaders Licensing Consortium (ISLLC) in developing new standards for principals.

1998: NAESP launches its mentor program, Peer Assisted Leader Services later renamed the National Mentor Certification Program.

1999: Vincent Ferrandino is named fifth executive director.

2001: NAESP publishes *Leading Learning Communities: What Principals Should Know and Be Able to Do*, 1st edition.

2007: Gail Connelly is named sixth executive director.

Member benefits include \$1,000,000 individual professional liability coverage and up to \$10,000 in due process coverage based on years of continuous membership.

2008: NAESP publishes *Vision 2021: Transformations in Leading, Learning, and Community*, the culmination of the futures project to inform the development of goals to guide the Association toward its 100th anniversary.

2010: For the first time in its 90-year history, NAESP introduces legislation to the U.S. Congress to support specific professional development for principals.

2013: The Federal Relations Conference becomes a more robust National Leaders Conference on Advocacy & Policy to deal with the federal policy agenda.

2014: The National Panel of New Principals, of first and second-year principals, is created to offer NAESP a unique perspective on the issues, trends, and needs of the early-career principals

Member benefits now include \$2,000,000 individual professional liability coverage and up to \$10,000 in due process coverage based on years of continuous membership.

2015: The Pre-K-3 Leadership Academy is developed.

2017: Dr. L. Earl Franks, CAE is named seventh executive director.

2018: The *Principal's Guide to Building Culturally Responsive Schools* presents recommendations for four leadership competencies that are meant to guide school leaders in their work to ensure equity for all students.

2019: NAESP updates its publication *Leading Learning Communities* and retitles it *Leading Learning Communities: Pillars, Practices and Priorities of Effective Principals*.

NAESP, in partnership with AASA, launches the National Aspiring Principals Academy.

2020: The National Task Force on Race and Equity is formed to advise NAESP on issues related to racial equity in school communities, reveal schools' common challenges and solutions, and support a peer-to-peer network of support for school leaders.

2021: NAESP celebrates its 100 anniversary.

Annual Report & Financial Statement

2019-2020



Audit Summary Statement 2019-20

CohnReznick, in their Independent Auditor's Report, stated, "In our opinion, the consolidated financial statements present fairly, in all material respects, the financial position of the National Association of Elementary School Principals and Affiliate as of June 30, 2020 and 2019 and the changes in their net assets and their cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America."

Financial Position - Year End 2020 & 2019

Assets

	2020	2019
Current assets		
Cash and cash equivalents	2,142,289	\$ 1,723,488
Restricted cash and cash equivalents	220,382	602,686
Grants and contributions receivable	24,650	135,000
Accounts receivable, net	443,744	503,816
Inventory, net	223,373	160,660
Prepaid expenses and other current assets	92,446	190,086
Total current assets	<u>3,146,884</u>	<u>3,315,736</u>
Property and equipment, net	603,964	581,332
Investments	2,281,452	2,164,835
Cash surrender value of life insurance, net	164,823	142,974
Deposits	58,000	58,000
Deferred compensation assets	<u>86,392</u>	<u>368,985</u>
	<u><u>6,341,515</u></u>	<u><u>\$ 6,631,862</u></u>

Liabilities and Net Assets

	2020	2019
Current liabilities		
Note payable, current portion	11,628	\$ 11,053
Accounts payable and accrued expenses	426,496	557,221
Accrued salaries and related benefits	192,908	176,755
Deferred revenue	<u>1,112,155</u>	<u>1,757,277</u>
Total current liabilities	1,743,187	2,502,306
Note payable, net of current portion	501,823	577,270
Deferred compensation liability	<u>86,392</u>	<u>368,985</u>
Total liabilities	2,331,402	3,448,561
Net assets		
Net assets without donor restrictions		
Undesignated	1,413,273	577,631
Board designated reserve funds	<u>2,204,569</u>	<u>2,150,011</u>
	3,617,842	2,727,642
Net assets with donor restrictions	<u>392,271</u>	<u>455,659</u>
Total net assets	<u>4,010,113</u>	<u>3,183,301</u>
	<u><u>6,341,515</u></u>	<u><u>\$ 6,631,862</u></u>

Financial Statement - Year End, June 30, 2020

Revenue

	Without donor restrictions	With donor restrictions	Total
Revenue and support			
Membership dues	\$ 3,719,193	\$ -	\$ 3,719,193
Grants and contributions	7,959	162,621	170,580
National conference and meetings	947,438	-	947,438
PEAP revenue, net	818,922	-	818,922
Sponsorships and contract revenue	45,000	-	45,000
Advertising	230,111	-	230,111
Principal resource sales	39,240	-	39,240
Partnership support	453,332	-	453,332
Royalty income	210,280	-	210,280
Other revenue	168,894	-	168,894
Mailing list revenue	6,871	-	6,871
Investment income	61,239	-	61,239
Net assets released from restrictions			
satisfaction of program restrictions	<u>226,009</u>	<u>(226,009)</u>	<u>-</u>
Total revenue and support	<u>6,934,488</u>	<u>(63,388)</u>	<u>6,871,100</u>

Expenses

	Without donor restrictions	With donor restrictions	Total
Expenses			
Program services			
Communication	597,094	-	597,094
Governance	258,636	-	258,636
Government relations	186,519	-	186,519
Leadership programs and outreach	151,474	-	151,474
National Distinguished Principal	221,958	-	221,958
Membership	1,153,627	-	1,153,627
National conference and meetings	719,862	-	719,862
PEAP and student programs	1,079,917	-	1,079,917
Professional learning	740,264	-	740,264
Foundation programs	<u>116,713</u>	<u>-</u>	<u>116,713</u>
Total program services	5,226,064	-	5,226,064
Supporting services			
General and administrative	<u>818,224</u>	<u>-</u>	<u>818,224</u>
Total expenses	<u>6,044,288</u>	<u>-</u>	<u>6,044,288</u>
Change in net assets	890,200	(63,388)	826,812
Net assets, beginning of year	<u>2,727,642</u>	<u>455,659</u>	<u>3,183,301</u>
Net assets, end of year	<u><u>3,617,842</u></u>	<u><u>\$ 392,271</u></u>	<u><u>\$ 4,010,113</u></u>

Membership

June 30, 2020	June 30, 2019
Active – 13,018	Active – 13,435
Institutional Active – 319	Institutional Active – 345
Assistant Principal – 2,160	Assistant Principal – 1,970
Associate – 135	Associate – 144
Aspiring – 346	Aspiring – 348
Emeritus – 435	Emeritus – 460
Lifetime – 26	Lifetime – 26
Institutional Subscription – 291	Institutional Subscription – 311
International – 150	International – 270
Complimentary – 118	Complimentary – 116
Total - 16,998	Total - 17,426
Total Active, Institutional Active, & Assistant Principal – <u>15,497</u>	Total Active, Institutional Active, & Assistant Principal – <u>15,750</u>



*All images depict membership data as of February 10, 2021

Strategic Plan 2018-2021

Communications

- Goal 1: Strengthen branding and hone NAESP's positioning on priority issues.
- Goal 2: Position NAESP as a thought leader on key areas of focus.
- Goal 3: Reposition and develop new resources to enhance membership experience.
- Goal 4: Increase NAESP's multimedia footprint to increase engagement, promote the membership experience, and disseminate information on key topics.

Organizational

Organizational

- Goal 1: Enhance membership value, resulting in Association growth and long-term sustainability.
- Goal 2: Grow the number of partnerships that will support the work of NAESP members and increase NAESP's non-dues revenue.

Governance

- Goal 1: Employ governance best practices to support the mission of the Association.
- Goal 2: Expand and strengthen NAESP volunteer engagement and leadership opportunities available, creating a culture that welcomes member participation.
- Goal 3: Use resources strategically and maintain financial stability.

Advocacy

- Goal 1: Strengthen NAESP's brand and presence on Capitol Hill, with the U.S. Department of Education, and with the Administration.
- Goal 2: Increase NAESP members' engagement in advocacy.
- Goal 3: Bolster NAESP's standing as a thought leader in the field.
- Goal 4: Broaden NAESP member's impact on local and state policies.

Professional Learning

- Goal 1: Provide high-quality professional learning aligned with PSEL Standards and the needs of all membership categories and expertise levels.
- Goal 2: Expand and strengthen professional learning initiatives to promote and strengthen principal leadership and development.
- Goal 3: Create and establish a Pre-K-8 National Principal Credential Program.

Student Programs/Awards & Recognition

- Goal 1: Increase awards and recognition programs offered by NAESP.
- Goal 2: Strengthen current awards programs.
- Goal 3: Employ best practices in marketing and recruitment in order to increase participation in all student programs.

NAESP Staff

L. Earl Franks, Ed.D., CAE

Executive Director

Cynthia Barnaby

Executive Administrator/
Accountant

Chuck Becker

Tech Specialist (Consultant)

Gracie Branch, Ph.D.

Associate Executive Director,
Professional Learning

Danny Carlson

Associate Executive Director,
Policy & Advocacy

Ned Colbert

Communications
Coordinator

Cynthia Demery

Manager, Member
Processing

Katie Earley, CMP

Manager, Professional
Learning Projects

Honor Fede

Director, Professional
Learning

Krysia Gabenski

Digital Communications
Associate

Jackie McGrail

Associate Executive Director,
Membership, Development
& Affiliated Services

Danielle Mazzuchi

Administrator, Professional
Learning

Jennifer Shannon

Director, Governance
Services

Bhairavi Shethna

Associate Executive Director,
Finance & Accounting

Nikki Sparks

Director, Operations,
Student Programs & Special
Projects

Kaylen Tucker, Ph.D.

Associate Executive Director,
Communications & Editor-
in-Chief, *Principal* magazine

Deborah Young, CMP, CEM

Assistant Executive Director,
Conference & Exhibit
Services

2020-21 Board of Directors

President

Kimbrelle Barbosa Lewis
Cordova Elementary
Cordova, TN

President-elect

Paul Wenger
Jordan Creek Elementary
West Des Moines, IA

Vice President

Dave Steckler
Red Trail Elementary
Mandan, ND

Director, Zone 1

John Quinn
Clara Barton Elementary
Oxford, MA

Director, Zone 2

Thomas Payton
Roanoke Avenue Elementary
Riverhead, NY

Director, Zone 3

April D. Knight
Avondale Elementary
Columbus, OH

Director, Zone 4

Ann-Marie Gleason, Ed.D.
Harpeth Valley Elementary
Nashville, TN

Director, Zone 5

David A. Naylor Jr.
Model Laboratory School
Richmond, KY

Director, Zone 6

James Edmond Jr., Ph.D.
Woodside Elementary
Sussex, WI

Director, Zone 7

Timothy Kosters
Lead-Deadwood Elementary
Deadwood, SD

Director, Zone 8

Victorius Eugenio
Daggett Montessori
School K-8
Fort Worth, TX

Director, Zone 9

Keith Conley
Geneva Elementary
Orem, UT

Director At Large, Middle

Kevin Armstrong, Ed.D.
DuPont Hadley
Middle School
Old Hickory, TN

Director At Large, Minority

Liza Caraballo-Suarez, Ed.D.
Magnet School of
Architecture, Engineering &
Design - P.S. 120
Brooklyn, NY

Ex-Officio Board Member Executive Director

L. Earl Franks, Ed.D., CAE

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National Association of Elementary School Principals

Serving All Elementary and Middle-Level Principals

**NAESP Board of Directors Meetings
Hyatt Regency Chicago
July 2021 Minutes
July 6, 2021**

OFFICIAL MINUTES

Distribution:
NAESP Board of Directors
NAESP State Representatives
NAESP State Presidents
NAESP State Executive Directors
NAESP Editors
Past NAESP Officers



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NAESP Board members present:

Kimbrelle B. Lewis	President
Paul Wenger	President-elect
Dave Steckler	Vice President
John Quinn	Director, Zone 1
Tom Payton	Director, Zone 2
April Knight	Director, Zone 3
Ann-Marie Gleason, Ed.D.	Director, Zone 4
David Naylor Jr.	Director, Zone 5
James Edmond Jr., Ph.D.	Director, Zone 6
Tim Kusters	Director, Zone 7
Vic Eugenio	Director, Zone 8
Keith Conley	Director, Zone 9
Liza Caraballo-Suarez, Ed.D.	Director At Large, Minority
Kevin Armstrong, Ed.D.	Director At Large, Middle-level

Ex-officio NAESP Board members:

L. Earl Franks, Ed.D., CAE NAESP Executive Director

Staff present upon request:

Jennifer Shannon Director, Governance Services

1. Call to Order

President Kimbrelle Barbosa Lewis welcomed the board members to the board meeting and called the July 6, 2021 NAESP Board of Directors meeting to order.

Motion made by Keith Conley, seconded by David Naylor Jr., and CARRIED: to call the July 6, 2021 NAESP Board of Directors Meeting to order at 8:46 a.m. EST

President Barbosa Lewis reviewed the agenda with the board.

Motion made by April Knight, seconded by Ann-Marie Gleason, Ed.D., and CARRIED: to approve the agenda with addition of item 11. Overseas Schools Trips for the July 2021 Board of Directors.

2. Financial Updates & Reports

Executive Director L. Earl Franks, Ed.D., CAE reviewed financial reports with the board.

A. Balance Sheet as of 5/31/21

The Balance Sheet for NAESP as of May 31, 2021 reflects the overall Assets, Liabilities, and Equity at \$7,770,314.03 compared to \$5,672,389.28 at the same time last year. The loan from United Bank has been paid in full and NAESP has no outstanding debt at this time.

Motion made by Tom Payton, seconded by Liza Caraballo-Suarez, Ed.D., and CARRIED: to approve the NAESP Balance Sheet as of 5/31/21.

B. Statement of Income and Expenses as of 5/31/21

The NAESP Statement of Income & Expenses as of 5/31/21 reflects a total income of \$5,672,976.01 compared to \$6,389,218.56 at the same time last year while total expenses were \$4,117,730.26 compared to \$5,333,837.09 at the same time last year resulting in a net income of \$1,555,245.75 compared to \$1,055,381.47 at the same time last year. Although revenue was down compared to this same time last



year, expenses were also down because we did not have a 2020 conference.

Motion made by David Naylor Jr., seconded by Vic Eugenio, and CARRIED: to approve the Statement of Income and Expenses as of 5/31/21.

C. NAESP Investment Reports as of 5/31/21

The LTR Portfolio Performance & Activity report reflects NAESP's Long-Term investments total \$2,412,255.10 as of May 31, 2021. We currently have \$249,988.92 in Capital (Short-Term) Reserve Funds. Overall, NAESP's total reserves reflect an increase of almost \$164,000 Year to Date (YTD).

Motion made by Timothy Kusters, seconded by James Edmond Jr., Ph.D., and CARRIED: to approve the Investment Reports as of 5/31/21.

In October 2017, the board authorized to reassign \$600,000 from NAESP's Long-Term Reserve Funds to the Short-Term Reserve Funds to pay down debt and maintain a balance to ease cash flow situations. Now that NAESP is current on all bills and has completely paid down the debt, Executive Director L. Earl Franks, Ed.D., CAE recommended transferring \$600,000 from the checking account into the Long-Term Reserve account to replenish what was borrowed in 2017.

Motion made by Liza Caraballo-Suarez, Ed.D., seconded by Keith Conley, and CARRIED: to approve the transfer of \$600,000 from the checking account into the Long-Term Reserve account.

3. Executive Director Report

Executive Director Earl Franks, Ed.D., CAE reported on the following items during the meeting.

A. State of the Association Update

Despite the pandemic, the NAESP board & staff have made great strides in overcoming financial challenges in the last several months. In early 2021, NAESP received a PPP loan and Employee Retention Credit under the CARES ACT. Additionally, there has been a tremendous savings as a result of bringing membership processing in-house. The financial savings allowed NAESP to pay off the outstanding loan balance of \$339,010.36 for the United Bank loan in February 2021. It will be important that the Association continue on this positive financial trajectory, monitoring all income and expenses and building financial reserves to ensure long-term stability for the Association. Our member services continue to increase at no additional cost to members. The NAESP dues for regular members will remain at \$235 for the 2021-2022 membership year (July 1, 2021 – June 30, 2022). The board will continue discussions surrounding a dues increase effective for the 2022-2023 membership year. NAESP developed a new Strategic Plan 2021-2024. The NAESP 2020 National Distinguished Principals and the 2020 & 2021 National Outstanding Assistant Principals will be recognized at this year's conference.

Executive Director Franks thanked President Kimbrelle Barbosa Lewis for her leadership of the Race & Equity Taskforce and their invaluable contributions in strengthening principals as leaders of school equity. NAESP will continue to address race and equity in schools and have identified several topics of priority going forward.



B. NAESP Service Areas Update

Executive Director Earl Franks provided an update of activities in each of the service areas.

Advocacy

- NAESP is continuing its engagement on the implementation of American Rescue Plan (ARP) funding. As part of the implementation process, and required in the law, state education agencies (SEAs) and districts must meaningfully engage a wide swath of stakeholders, including principals, about how these funds should be allocated. NAESP and NASSP convened a virtual meeting with Secretary of Education, Miguel Cardona, to discuss stakeholder engagement and the importance of principals having a say in how ARP funds are spent.
- Over the past few months, NAESP has urged Congress to provide \$175 billion in education stabilization funds, which would help schools backfill expected state budget cuts to education funding. So far, NAESP members have made more than 4,500 connections with their members of Congress, urging them to support education stabilization funds.

Professional Learning Programs & Projects

- The **National Mentor Training and Certification Program** will offer three virtual LII training sessions in 2021-2022 along with two virtual recertification training sessions; this schedule will be augmented with any district contracted LIIs and/or recertification training sessions. Train-the-Trainer sessions will be offered to the current pool of 24 mentor coaches to ensure they are properly equipped to facilitate the content virtually.
- **Leading Learning Communities: A Principal's Guide to Early Learning and the Early Grades (Pre-K-3)** publication with executive summary is available on our website for book orders. Dr. Gracie Branch (NAESP) presented at the summer NAESP Pre-K-8 Principals conference in Chicago with a breakout session entitled: "Early Childhood Learning: Thriving Children, Thriving Communities."
- The **NAESP Pre-K-3 Leadership Academy** launched Cohort 5 in Alabama and Cohort 2 in Nebraska.
- The **NAESP Centers for Advancing Leadership** provide focused learning and development for elementary and middle-level principals. The four leadership centers: **Center for Innovative Leadership, Center for Middle-Level Leadership, Center for Diversity Leadership, and Center for Women in Leadership**. Each center is led by two Fellows.
- **National Aspiring Principals Academy** 3rd cohort with AASA – virtual component.
- NAESP formed a **National Taskforce on Race and Equity**. The Taskforce will continue providing supports for principals to address race and equity in schools and identified several topics including: constructing criteria, courageous conversations, and building belonging.
- In the past year, 32 webinars were added at no-cost and are archived on the NAESP website.

Membership & Marketing

- Membership as of June 30, 2021 is 15,633 for Active, Assistant Principals, and Institutional Active; our key categories. Overall membership is 17,131. As of 7/1/2021, we are trending up in all categories of membership exceeding the previous five years and the past seven years in key categories.
- Contracted with an external marketing company to create a multi-message email campaign targeting non-members across the United States. Timeline for the series is mid-June through early August.
- The average amount paid out for legal coverage per member claim was \$4,022 for the 2019-2020 membership year.
- NAESP has only had one increase in membership dues in the last 10 years. The board will have more in depth discussion related to a possible dues increase for 2022-2023.



Communications

- NAESP's **new website** launched in April.
- NAESP App continues to add users
- ***Principal*** magazine redesign - connecting/supporting all service areas. Received two SIAA (The Software & Information Industry Association) Excel Awards – Silver for *Principal* Magazine redesign and Silver for the *Leading Lessons* series – Wallace Foundation. Statements and NAESP quoted in various media sources.
- ***Communicator*** e-newsletter was refreshed with a new header and tagline, a completely different layout with featured images and buttons, and a spotlight on member benefits every issue.
- NAESP launched a blog series, “Principals’ Voices in School Equity”, which is a project of the National Task Force on Race and Equity.

Awards, Recognitions, & Student Programs

- The 2020 **National Distinguished Principals** were recognized during the 2021 Pre-K-8 Conference in Chicago.
- The **National Outstanding Assistant Principal (NOAP) Program** winners for 2020 and 2021 were recognized during the 2021 Pre-K-8 Conference in Chicago.

Governance

- Zones 3, 4, 6 will elect new Zone Directors in 2021-2022.
 - Zones establish their own election procedures for conducting elections.
 - The board will elect a Director At Large, Middle in 2021-2022.
 - Prospective Candidate Data Forms for all open positions will be available in mid-August.
- C. **NAESP Board Calendar of Events:** Future dates for conferences and activities were provided to the board and during Zone meetings.

National Distinguished Principal™ (NDP) Awards Program

October 7-8, 2021 – Capital Hilton, Washington, DC

NAESP Pre-K-8 Principals Conference

July 15–17, 2022 in Louisville, Kentucky

July 10–12, 2023 in National Harbor, Maryland

NAESP National Leaders Conference

February 27-March 2, 2022 – Washington, D.C.

D. **100th Anniversary Update**

To celebrate NAESP and its profound impact, a commemorative piece of art was created that highlights the achievements and leaders who have made our organization what it is today and unveiled during the 2021 Pre-K-8 Conference in Chicago. Historical documents, selected works, and significant moments from NAESP history are woven together in pictures that represent the services, supports, successes, contributions, and leadership for Pre-K–8 principals. An interactive website feature details each item within the artwork and is available on the website.

Three videos—a past presidents video, an overall video highlighting photos from the last century of NAESP, and a video tribute that showcased members and partners sharing their well-wishes and favorite NAESP memories will be shared during conference and available on the NAESP website.



4. Policy 400.4 Selection of the Nominating Committee

Following the February 2021 meeting, President Kimbrelle Barbosa Lewis appointed a committee of unbiased members to further review *Policy 400.4 Selection of the Nominating Committee* and make recommendations (if any) to the board. The committee met on Tuesday, May 18, 2021 to review the policy. The committee recommended one change to the current policy to further define the meaning of “carry-over” as those with any prior experience serving on the Nominating Committee. The committee reasoned that you don’t necessarily have to serve on the committee the year prior to have experience. They suggested the additional language so the intent of the word is made clear and no interpretation is needed.

Motion made by Tom Payton, seconded by Ann-Marie Gleason, Ed.D., and CARRIED: to approve the updated [Policy 400.4 Selection of the Nominating Committee](#) as presented.

5. Governance Committee Reports

A. Election Audit Board Report & Election Results

Survey and Ballot Systems administered the electronic election and distributed the results of the 2021 Vice President Election to the Election Audit Board for certification. The 2021 Election Audit Board met virtually on March 8, 2021 at 10:00 am EST, to certify the results of the 2021 Vice Presidential election.

NAESP disseminated the election results to State Presidents, NAESP State Representatives, State Executive Directors, Editors of state association publications, and all NAESP members according to policy.

The Election Audit Board certified the results of the 2021 Election and determined Dr. Liza Caraballo-Suarez of Magnet School of Architecture, Engineering & Design - P.S. 120 in Brooklyn, New York as vice president for a term beginning August 1, 2021.

Motion made by Keith Conley, seconded by James Edmond Jr., Ph.D., and CARRIED: to accept the 2021 Election Audit report as presented.

New Zone Directors/Director At Large:

(August 1, 2021 through July 31, 2024)

Zone 5 Director—Amy Dixon (IL)

Zone 7 Director—Matt Lewis (MT)

Zone 9 Director—Scott Borba (CA)

Director At Large, Minority—Ramona Dunn (MO)

B. Membership Committee Update

Vice President Dave Steckler is the chair of the Membership Committee for the 2020-2021 year. The committee convened via zoom in late May to provide their feedback on specific membership activities related to the new strategic plan. The committee also revisited the idea of increasing membership dues which was put on hold since the start of the pandemic. NAESP has only had one increase in membership dues in the last 10 years.

Highlights of the meeting include:

- Members were in favor of changing the “active” membership category name. “Active” can be misleading – they check their account, it shows “active” and they think they’re current when in fact there’s an expiration date showing otherwise. Possibly rename to “Principal/Administrator”.
- Feedback was in favor of raising the dues; Members emphasized the value of NAESP membership; Members advised not waiting so long to raise dues rather incrementally raise every few years; States should be informed in advance so they have time to prepare



- Members also discussed the idea of charging credit card fees, typically @ 3% which can add up to a loss of \$20 per membership. It was suggested that this fee be rolled into the dues increase for state affiliates (rather than separate)

Representatives in Zones 3, 5, and 9 will begin their three-year term July 1. Zone Directors provided their contact information to NAESP.

Motion made by Liza Caraballo-Suarez, Ed.D., seconded by Kevin Armstrong, Ed.D., and CARRIED: to accept the update of the Membership Committee.

6. Determine Designation of Next Director At Large Position

The board determined not to change the current designation of the Director At Large, Middle position appointed to serve a three year term on the board. Candidates interested in the Director At Large, Middle position will need to submit the electronic Prospective Candidate Data Form to NAESP by November 1, 2021. The next Director At-Large will begin his/her term on August 1, 2022.

Motion made by Keith Conley, seconded by David Naylor Jr., and CARRIED: to designate the next At Large Director position as a Middle-level appointed to serve a three year term effective August 1, 2022.

7. 2021 Pre-K-8 Principals Conference Overview

Executive Director Earl Franks provided an overview for the 2021 NAESP Pre-K-8 Principals Conference in Chicago, July 8-10, 2021.

8. Officers' and Zone Directors' Reports

NAESP Officers, Zone Directors, and Directors At Large reported on the major activities in their Zones.

9. Zone Common Agenda

Motion made by David Naylor Jr., seconded by April Knight, and CARRIED: to approve the [Zone Common Agenda](#) as presented.

10. Recognition of Outgoing Board Members

President Kimbrelle Barbosa Lewis recognized board members completing their term as of July 31, 2021, for their outstanding leadership during their tenure on the board.

11. Overseas Schools Trips

Each year, NAESP submits a grant proposal to the Department of State to provide a program to enhance school leadership through the sharing of knowledge and expertise of U.S. principals with their colleagues in Department-affiliated schools. As part of that grant, second year board members are typically offered the opportunity to travel to one of the Overseas Schools Regional Conferences occurring within the grant year to provide information and consultation to regions and schools to ensure that American-Sponsored Overseas Schools stay abreast of new academic and technological opportunities being offered to children and youth in the United States. For the 2020-2021 year, several board members were unable to participate in one of the Overseas Schools Regional Conferences due to the coronavirus pandemic and resulting ban on overseas travel. Executive Director Franks will speak with Director Tom Shearer with the Department of State about the possibility of future participation opportunities for these board members. He informed the board that long serving Director Tom Shearer will be retiring at the end of the year and a new Director to the Office of Overseas Schools will be appointed. He also made them aware that the Overseas Schools



Regional Conferences are currently not being held in-person and that this pattern will likely continue for the first half of the year.

12. Wrap-Up & Adjourn Meeting

Motion made by David Naylor Jr., seconded by Keith Conley, and CARRIED: to adjourn the NAESP Board of Directors Meeting on July 6, 2021 at 3:28 p.m.

Joint Membership States and Non-joint (Direct) Membership States

States with joint membership agreements require their members to join the national association (NAESP) when they join the state association.

Principals in Non-Joint states may join their state association or NAESP or both. NAESP membership enrollment forms may be sent directly to NAESP.

Principals in states with no agreements can join either the state association or the national association (or both). Membership enrollment forms come to us directly rather than from the state affiliate associations.

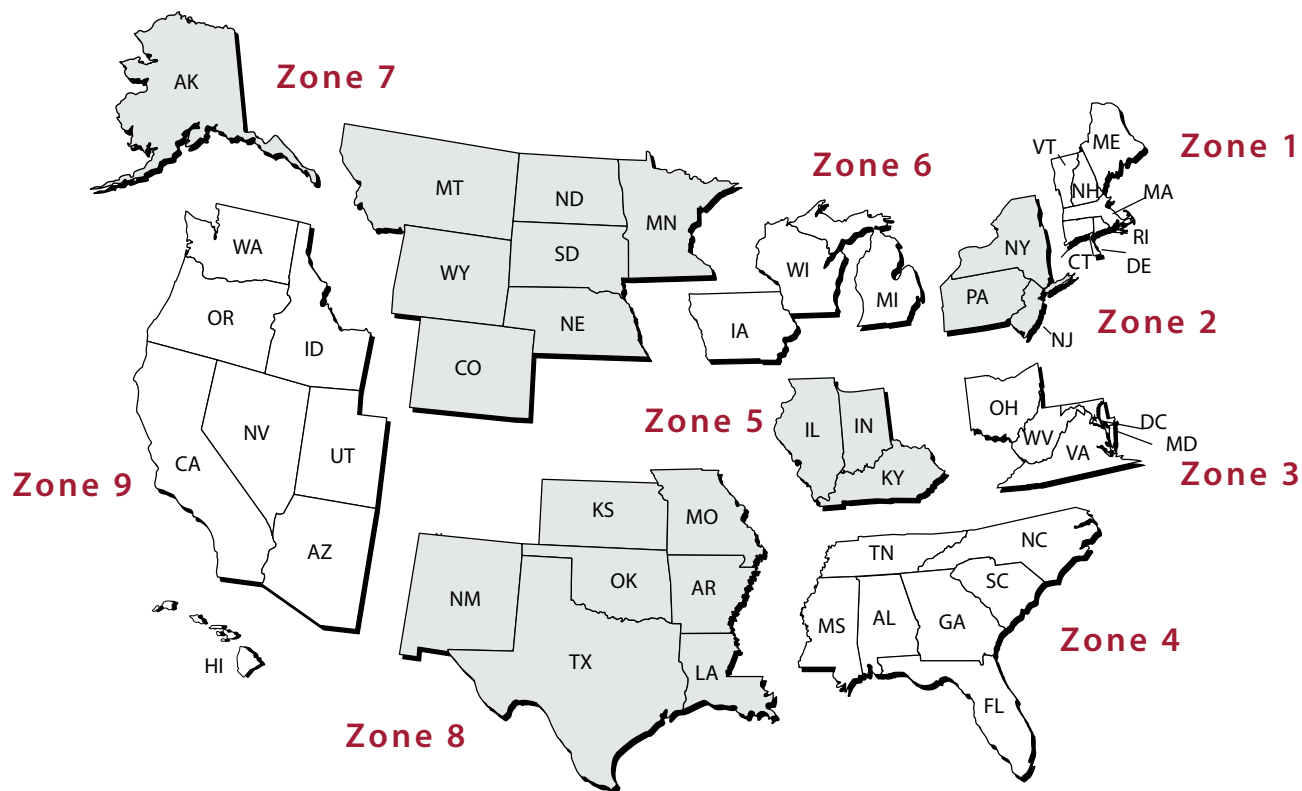
JOINT STATES

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Florida
Hawaii
Idaho
Maryland
Michigan
Mississippi
Montana
New Mexico
NorthDakota
Pennsylvania
Rhode Island
Tennessee
Virginia
Washington
West Virginia
Wyoming

NON-JOINT STATES

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Arkansas
California
Colorado
Connecticut
Delaware
District of Columbia
Georgia
Illinois
Indiana
Iowa
Kansas
Kentucky
Louisiana
Maine
Massachusetts
Minnesota
Missouri
Nebraska
North Carolina
New Hampshire
New Jersey
Nevada
New York
Ohio
Oklahoma
Oregon
South Carolina
South Dakota
Texas
Utah
Vermont
Wisconsin

Zone Map



Zone 1

Connecticut
Delaware
Maine
Massachusetts
New Hampshire
Rhode Island
Vermont

Zone 2

New Jersey
New York
Pennsylvania

Zone 3

District of Columbia
Maryland
Ohio
Virginia
West Virginia

Zone 4

Alabama
Florida
Georgia
Mississippi
North Carolina
South Carolina
Tennessee
Puerto Rico
Virgin Islands

Zone 5

Illinois
Indiana
Kentucky

Zone 6

Iowa
Michigan
Wisconsin

Zone 7

Alaska
Colorado
Minnesota
Montana
Nebraska
North Dakota
South Dakota
Wyoming

Zone 8

Arkansas
Kansas
Louisiana
Missouri
New Mexico
Oklahoma
Texas

Zone 9

Arizona
California
Hawaii
Idaho
Nevada
Oregon
Utah
Washington
Guam
American Samoa

International
(not affiliated with any zone)

SECTION 3

General Board Information

Roles and Responsibilities of Board Members

Board members are encouraged to carefully review **Article IV - Board of Directors** of the [NAESP Bylaws](#). This section of the Bylaws establishes guidelines for the Board of Directors under specific sections as follows:

- Section 1. Composition
- Section 2. Election of Zone Directors
- Section 3. Term of Office and Qualifications of Zone and At-Large Directors
- Section 4. Filling Vacancies of Director Positions
- Section 5. Powers and Duties
- Section 6. Meetings

Policies and Procedures

In addition to the Bylaws, NAESP Board Policies provide further guidance to Board members for fulfilling their responsibilities in governing the Association. A complete copy of Board policies is available at the back of this Manual. Board members should familiarize themselves with the formal Board policies, paying particular attention to **AREA 100 - Board of Directors** which includes:

- 100.1 Decisions by Mail or Telephone
- 100.2 Expenses for Zone Directors
- 100.3 Expenses for President, President-Elect and Vice President
- 100.4 Payment of President's Salary
- 100.5 Expenses for NAESP President's Spouse
- 100.6 Complimentary Arrangements for Past Officers
- 100.7 Complimentary Membership
- 100.8 Complimentary Membership for NASSP Board Members
- 100.9 Executive Sessions
- 100.10 Observers at Meetings of the Board of Directors
- 100.11 Board Minutes
- 100.12 NAESP Steering Committee
- 100.13 Review of Electoral Zone Composition
- 100.14 Limiting Service on Governing Bodies of the Association
- 100.15 Zone Directors Attendance at NAESP Program Activities
- 100.16 Travel Guidelines for NAESP Officers and Executive Director for State Conferences or Special Meetings
- 100.17 Appointed Board of Directors At-Large Members
- 100.18 Designation of Corporate Officers

Board Member Meetings: Procedures and Protocol

Fall Board Meeting – National Distinguished Principals Program (NDP)

BEFORE Fall Board Meeting and NDP Activities

Required

- Submit a completed Travel authorization form
- Download and Read Board Agenda and Agenda Items posted in the 'Resources' section of the website. *(You will need to log-in with your NAESP information to access this section)*
- Be prepared to provide an oral Zone Report highlighting your activities/travels/correspondence related to your position on the NAESP Board of Directors.

Optional

- Make personal contact to NDPs in your zone congratulating them on the honor and answering any questions they might have (NAESP will provide contact information).
- Communicate by formal letter congratulating NDPs.
- Prepare welcome cards for the NDPs. They can be given out in person when you greet the NDPs on the first day at Registration.
- Follow-up with e-mails to NDPs expressing your excitement about the events, build their anticipation for the events, and make yourself available for any troubleshooting about event schedule, arrangements, etc.

✓ **NDP Clothing Allowance: Formal wear**

Men Option 1 – First year Board members may purchase a tuxedo – up to \$450.00 during this first year reimbursable by NAESP with a receipt included with your NDP expense report. With this option, there will be no clothing allowance for your final two years on the Board.

Men Option 2 – You may rent a tuxedo each year and will be reimbursed up to \$150 each year with a receipt included with your expense report.

(Second year Board members will have a maximum of \$300 to purchase a tux if they did not purchase one last year or will be reimbursed as in option 2 above. Third year Board members that have not previously purchased a tux will be reimbursed up to \$150 with a rental receipt for this year.)

Ladies – NAESP will reimburse actual expenses up to \$200 each year as previously set in place. You do not have to spend the \$200. A receipt for your expenses will be required.

DURING Fall Board Meeting and NDP Activities

Required

- Participate in all Board activities (spouses/significant others—but not minor children—are usually included in social events and require advance notice to NAESP)
- Be prepared to provide an oral Zone Report highlighting your activities/travels/correspondence related to your position on the NAESP Board of Directors.
- Business dress for meetings (unless otherwise noted on the agenda provided prior to the meeting)
- Business wear for the Thursday evening Welcoming Reception
- Formal evening wear for the Friday evening NDP Banquet
- *(See above for the formal wear allowance for Board members)*
- Actively participate in discussions and follow Board norms.
- Monitor your funds in your Zone Account provided by NAESP for travel and per diem to your state affiliate activities
- Meet and greet your NDPs and let them know you will serve as their host. Anything they need—you are their contact.

AFTER Fall Board Meeting and NDP Activities

Required

- Fill out a Travel and Expense Voucher, attach receipts as necessary (taxis, home town airport parking, etc.). Per diem for meals is \$64 to the nearest half-day. If you have Internet expenses at the hotel (for keeping in touch with your school staff), document them as miscellaneous and submit on your expense form. *Refer to Policy 500.3 Expenses Paid by the Association.*
- Send the **Expense Form** with receipts to NAESP Governance Services Director, Jennifer Shannon at jshannon@naesp.org within two weeks.

Optional

- Many Board members take photos of NDPs from their Zone during the NDP activities and then send them a CD or electronic pictures after the event.

Winter Board Meeting – National Leaders Conference (NLC)

BEFORE Winter Board Meeting

Required

- Submit a completed Travel Authorization form
- Download and Read Board Agenda and Agenda Items posted in the 'Resources' section of the website. (*You will need to log-in with your NAESP information to access this section*)
- Be prepared to provide an oral Zone Report highlighting your activities/travels/correspondence related to your position on the NAESP Board of Directors.
- Provide electronic feedback for the Executive Director Evaluation. This is usually due to the President by mid-December so he/she can review a summary report for the Winter Board meeting.
- Prepare welcome cards for the National Leader's Conference participants when they arrive at the hotel (NAESP will provide you with contact information for attendees in your zone).

DURING Winter Board Meeting

Required

- Participate in all Board activities (spouses/significant others—but not minor children—are usually included in social events and require advance notice to NAESP)
- Business dress for meetings (unless otherwise noted on the agenda provided prior to the meeting)
- Actively participate in discussions and follow Board norms.
- Monitor your funds in your Zone Director Account provided by NAESP for travel and per diem to your state affiliate activities
- Plan to accompany your state's participants during visits to legislators on Capitol Hill.

AFTER Winter Board Meeting

Required

- Send the **Expense Form** with receipts to NAESP Governance Services Director, Jennifer Shannon at jshannon@naesp.org *within two weeks*.

Summer Board Meeting – NAESP Annual Conference

BEFORE Summer Board Meeting

Required

- Submit a completed Travel Authorization form
- Be prepared to provide an oral Zone Report highlighting your activities/travels/correspondence related to your position on the NAESP Board of Directors.
- Download and Read Board Agenda and Agenda Items posted in the 'Resources' section of the website.
- Make arrangements for any Zone social activity you will host during the national convention. All zones do this differently. Some zones don't have an activity, some zones get money from each state in the Zone to support an activity, some zones get a sponsor to underwrite an activity, and others simply choose a place and time to meet and members are on their own for their purchases. The real purpose for having a zone social activity is to provide folks an opportunity to meet and greet other principals from the various states in the zone.
- Communicate with State Executive Directors and NAESP State Representatives about the special Zone social event (if there is one) and ask for their assistance in getting the word out.
- Prepare welcome cards to give to special friends and leaders that have supported your role as a Zone Director.
- Create an initial timeline/day-to-day calendar for the meetings/social events/board activities, etc. you plan on attending. This will be revised at the Board meeting, but it is a good idea to have a head start.

DURING *Summer Board Meeting*

Required

- Participate in all Board activities (spouses/significant others—but not minor children—are usually included in social events and require advance notice to NAESP)
- Actively participate in discussions and follow Board norms.
- Conduct the Zone meeting for all of your zone attendees. The Board will create a Zone Common Agenda that all Directors will use (staff will produce photocopies).
- Business dress for all meetings with the exception of the welcome and closing events. Sometimes there are special themes. You *are* the leaders of our national Association!
- Make final contacts and host the special Zone social activity if you have one planned for the convention.
- Reminder—keep track of the amount spent in your Zone budget to ensure you do not go over budget.

AFTER *Summer Board Meeting*

Required

- Send the **Expense Form** with receipts to NAESP Governance Services Director, Jennifer Shannon at jshannon@naesp.org *within two weeks*.

Travel/Accommodations & Expenses:

- All Board members are expected to attend *all meetings* of the Board of Directors.
- Board members should notify the President and Executive Director as soon as possible of an impending absence.
- For this year, there will be a meeting held before the Annual Conference in July; a meeting before the National Distinguished Principals program in October, and a meeting before the National Leaders Conference in February. Board meetings average one-two days.
- Board members are expected to make their own travel arrangements, but NAESP staff will arrange for appropriate hotel accommodations. If there are issues with your hotel accommodations/assignments once you are on site, you must contact an NAESP conference and meetings staff person to make any changes. Use the concierge services if they are available to NAESP board members.
- You will not have to register for meetings or make hotel accommodations for board meetings or convention; NAESP staff will handle those arrangements. However, it is important that your Travel Authorization form is accurate. If you plan to come earlier than the recommended beginning travel day or stay later than the recommended ending travel day, it should be cleared through NAESP and in most cases you will be responsible for the extra cost.
- Always submit a completed Travel Authorization form prior to any NAESP function you attend on behalf of NAESP (board meetings, state conferences, overseas travel, education organization functions, etc.). The signed form provides authorization (for Association insurance purposes), provides staff with necessary itinerary details, and provides the Board member a way to obtain a cash advance, if necessary.
- Travel forms for *Board meetings* will always be sent to you electronically in advance.
- Board members will receive the agenda and agenda item details electronically in advance; please review the material and prepare for discussion of the issues presented.

Zone Budgets & Zone Director Reports:

- Each Zone Director or Director At Large has a small budget, between \$1,000 and \$3,000 depending on the size of your zone, to spend on travel related costs to your state affiliate activities. Different directors use this fund in different ways. While using this for some hospitality for state leaders may be appropriate, this is not the primary purpose for this small budget and you must take care not to go over budget without prior approval from the Executive Director or designee. Develop a process early on for tracking your expenses at Board meetings or conferences in your zone.
- During each Board of Directors meeting you will be asked to provide a brief report of your activities. Suggested area include:
 - Supports & outreach provided to NAESP State Representatives toward strengthening and promoting NAESP membership
 - Synopsis of travel to state conferences and other meetings as an NAESP Board Representative
 - NAESP Special Committees
 - Hot topics in your zone or area of representation worthy of NAESP consideration
 - Insights to enhance NAESP's services and support for members
- Zone Directors are responsible for consistent and regular communication with the state leaders in their respective zones, toward strengthening ties at the state level and promoting NAESP Membership. Zone Directors are particularly encouraged to maintain close contact with the State Representatives and actively assist with the recruitment and retention of members.

- Zone Directors lead zone meetings during the NAESP annual conference and the National Leaders Conference. The Board agrees on a Zone Common Agenda for these meetings during the regularly scheduled board meeting.

Board Communications:

- The NAESP *Board Brief* is sent to state leaders and past officers following each Board Meeting. The Board Brief serves as the official minutes of the Board meeting and is intended to keep members apprised of national activities.
- The Board *Monthly Update* is sent monthly to the Board of Directors that includes updates and status of any activities within the Association. In addition, Zone Directors may use the Board Brief or the Board Monthly Update, in whole or in part, for a zone newsletter if they choose to make personal contact and foster relationships with individuals throughout their zones. Zone Directors are encouraged to seek advice on handling zone responsibilities from other, experienced Zone Directors.

NAESP Board Member Supplies

NAESP COMPLIMENTARY MEMBERSHIP FOR BOARD MEMBER DESIGNEE

In accordance with NAESP policies, “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.”

Lifetime Membership for former NAESP Presidents: per action taken by the Board of Directors in June 2015

BOARD NOTE CARDS

Note cards with matching envelopes are also available for board members on request.

BUSINESS CARDS

You will be provided with business cards that will list your title, school, address, phone number and NAESP’s location information.

BOARD MEMBER PINS

All Board members will receive an NAESP Board pin.

BOARD SHIRTS

NAESP Board of Directors polo shirts are provided to incoming board members to can be worn during some of the more casual Board of Directors meetings.

Additional NAESP branded items are available for purchase through the NAESP website or using the link below.

<https://naesp.qbstores.com/>

Process for Developing Board Agenda/Board Brief

1. Executive Director works with Deputy Executive Director and Governance Services Director to develop a proposed Schedule/Agenda for each Board meeting; this process typically starts about 6 weeks prior to the meeting.
2. The proposed Schedule/Agenda is submitted to the NAESP President for review/additions/changes/approval; typically, this happens within 2-3 days.
3. Once approved, the Schedule/Agenda is shared with the appropriate NAESP staff for developing out the background and other information needed; typically, this process takes between 1-2 weeks, depending on the time needed to gather the most current and pertinent information.
4. The Governance Services Director compiles all information, reviews, edits, and then submits the draft Schedule/Agenda to the Deputy Executive Director for review who then submits it to the Executive Director for review.
5. When final edits are complete, the Executive Director notifies the Board of the upcoming meeting and provides instructions for accessing the Board agenda via the Board Members' section of the NAESP web site; usually, this notice is sent at least 1 week prior to the Board meeting.
6. The Governance Services Director takes notes during the regular Board meetings and after the meeting, produces a first draft of the minutes from the meeting and submits them to the Deputy Executive Director first for review/editing and then to the Executive Director for review/editing; typically, this takes about 2 weeks.
7. The Executive Director then sends the Minutes to the Board of Directors for each member to review and approve via email (Each Board member must cast a vote before the action is legitimate); usually, Board members are expected to respond within 3-5 business days.
8. While waiting for all votes from Board Members, the Governance Services Director works with the President and the Executive Director to develop the *Board Brief* that summarizes actions taken by the Board with an embedded link to the official Minutes of the meeting; typically, this takes 2-3 days.
9. When all Board Members have cast their votes, the Minutes are then disseminated to NAESP State Leaders, Past Directors, and Staff via the *Board Brief* from the NAESP President; usually, within 1 week.
10. The entire process takes about six weeks prior to the meeting and about four weeks after the meeting to complete.

Board Resources on the NAESP Website

www.naesp.org

The [Resources](#) section of the Association website includes a link to [Board Member Resources](#) with helpful documents such as the Board Manual, Board Contact Information, the Expense Form, etc.

Log in to www.naesp.org with your Username (your e-mail address) and your Password (your last name or your self-chosen password) and click on the link to Resources. Click on the items that interest you.

For every board meeting, NAESP Staff will upload the meeting agenda and supporting documents to the Board Resources section of the website for board members to download and/or print prior to the meeting. Each meeting will be identified such as: "2021 July Board Meeting". Copies of the agenda items are not available at the meetings.

NAESP Staff produces a monthly board update that includes timely information and updated from each of the departments. These documents are sent to the board by email and are available for download under the Board Resources section under "Monthly Update".

If you need any assistance downloading documents, contact Governance Services Director, Jennifer Shannon jshannon@naesp.org or 703-518-6286.

Helpful electronic resources can be found here such as board contact information, travel authorization form, expense form, etc.

Click on the 'Resources' tab. Then in the menu, click on 'Board Member Resources'

Make sure you are logged-in.

The screenshot shows the NAESP website interface. At the top, there is a navigation bar with links for News, Blog, Get Involved, and social media icons. Below this is a secondary navigation bar with links for About, Advocacy, Resources, Events, Programs, For Students, Membership, and Search. The 'Resources' link is highlighted with a blue arrow pointing to it from the annotation 'Click on the 'Resources' tab. Then in the menu, click on 'Board Member Resources''. Below the navigation bar, the breadcrumb trail reads 'NAESP > Resources > Board Member Resources'. The main heading is 'Board Member Resources'. Below the heading, there is a search bar with the placeholder text 'Search...' and a 'TOPICS' dropdown menu with the placeholder text 'Please Select...'. At the bottom, there is a carousel of resources, including a document titled 'Principals' Creed' and a document titled 'As a parent you can imagine how new your experience compares with your peers throughout the nation and the resources and strategies that are proving most useful in areas ranging from instructional leadership to technology, career engagement and more. As the same time you'll impact the big picture. Parents help to ensure that national policymakers'.

Public Relations Guidance

NAESP's officers and board members play a significant role in the association's public relations efforts.

By the authority you hold as an official of a national organization, your opinions and observations can help to shape education policies in your zone. Further, the way you are perceived by your colleagues, and by the members of the public with whom you deal, has a significant bearing on the reputation and credibility of NAESP and of the K-8 principalship.

In the interests of consistency, it is important that officers and board members be familiar with NAESP's public relations policies and goals.

Officers and board members are asked to inform the Executive Director of events and policies in the various zones that have national PR implications. This kind of information can be useful in planning statements by NAESP's President or Executive Director, or in providing the basis of a story in *Communicator*.

Officers and directors may request talking points on issues and trends from the NAESP publications and public relations team. Talking points will be approved by NAESP's executive team.

NAESP will prepare news releases and provide other information to the media at opportune times during your term as a member of the Board. You will be kept informed of all such activities and will be apprised of your anticipated role.

Here are tips for dealing with reporters:

Know your facts: The most important aspect of dealing with the news media is to be prepared. You're the expert on education—not the reporter—so make sure you have a firm grasp of the facts and figures on the issues you will be discussing.

Work with your public relations officer: Many school districts have public relations/public information officers who work with the news media on a daily basis. These professional PR people can provide you with valuable information about the local press and the best methods of getting your message across to the public.

Get to know the local newspaper and TV reporters and editors: When you want to achieve publicity for your school, it is important to have established contacts in the news media. Additionally, such people will feel comfortable coming to you when they need help on an article.

Many public officials fear the news media: Actually, the vast majority of reporters and editors want and need to cooperate with you. So return the favor. You can develop very good working relations with the press if you cooperate.

Honesty is indeed the best policy when working with the news media: As public officials, you have a responsibility to be honest with the public, and the press is a representative of the public.

The news media will respect your honesty if you answer questions clearly or simply say “I do not know” or “I cannot comment on that at this time.” Remember, anything you say to reporters—no matter how informally—may end up on tomorrow’s front page.

Try to control the interview: When being interviewed by a reporter you should seek to control the path of the interview by making certain you state the messages you want to convey—no matter what the question! Always be positive and reiterate your basic messages at least once during the interview and possibly twice, thereby increasing the odds that the public will hear what you want to say.

Develop some basic positions: Maintain a list of five or six messages you want to convey in all interviews. These messages should be supported by your staff, and they should convey an honest reflection of your school’s goals and achievements.

Develop a panel of experts: Reporters and editors frequently ask to interview staff members who can speak on particular topics. Take a close look at your staff and choose knowledgeable and articulate people to make available to talk with reporters about important aspects of your school’s operation.

COMPLIMENTARY MEMBERSHIP DESIGNATION FORM

In accordance with NAESP policies, "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."

On the fill-in form below please type the name and mailing address of the person you wish to receive this complimentary membership. Tab to move from field to field.

Please complete and return to: Jennifer Shannon
Governance Services Director
NAESP

Please enter a complimentary membership for the following administrator from my school district:

☐ Mr. ☐ Ms. Name:

Title:

School District:

Address:

City: State: Zip:

E-mail:

Date:

Board Member Name:

BOARD MEMBER CODE OF CONDUCT

As a member of the NAESP Board of Directors, I will:

- listen carefully to my fellow Board members;
- carefully consider and respect the opinions of my fellow Board members;
- respect and support all majority decisions of the Board;
- recognize that all authority is vested in the Board;
- keep well-informed of developments relevant to issues that may come before the Board;
- participate actively in Board meetings and actions and not discuss elsewhere what I am unwilling to discuss in Board meetings;
- bring to the attention of the Board any issues I believe will have a significant effect on our organization or those we serve;
- attempt to interpret the needs of all those we serve to the Board of Directors;
- refer complaints directly to the proper level on the chain of command;
- recognize my job is to ensure that the organization is well-managed, not necessarily to manage the organization;
- represent all those whom this organization serves and not a particular geographic area or interest group;
- consider myself a "trustee" of the organization and do my best to ensure that it is well-maintained, financially secure, and always operating in accord with our stated objectives and in the best interests of those we serve;
- always work to learn how to do my job better; and
- acknowledge conflicts of interest between my personal life and my position on the Board, and abstain from voting or attempting to influence issues in which I am conflicted.

As a member of the NAESP Board of Directors, I will not:

- criticize fellow Board members or their opinions, in or out of the Board room;
- use the organization or my position for my personal advantage or that of my friends, relatives or associates;
- discuss the confidential proceedings of the Board outside the Board room; promise how I will vote on any issue before hearing the discussion and becoming fully informed;
- interfere with the duties of staff or undermine the authority of our chief staff executive to perform his/her duties; and
- speak for or on behalf of the organization unless specifically authorized to do so.

Name (please print) _____ ***Signature*** _____

Date _____

(from Leadership Roles and Goals – Bob Harris, CAE)

SECTION 4

NAESP 2021-2022 Board of Directors Information

2021-2022 NAESP Board of Directors

President Paul Wenger Jordan Creek Elementary School, PreK-6 4105 Fuller Road West Des Moines, IA 50265 School: 515-633-5290 wengerp@wdmcs.org Home: 29724 Deep Water Court Moravia, Iowa 52571 Cell: 563-880-3456	2021-2022	Director, Zone 2 Thomas Payton Roanoke Avenue Elementary School, K-4 th grade 549 Roanoke Ave Riverhead, NY 11901 School: 631-369-6812 Thomas.payton@riverhead.net Home: 25 Daly Ct. Riverhead, NY 11901 Cell: 631-681-3564	2020-2023
President-elect Dave Steckler Red Trail Elementary School, PreK-5 4801 37 th Ave. NW Mandan, ND 58554 School: 701-751-6508 dave.steckler@msd1.org Home: 4605 31 st St. SE Mandan, ND 58554 Cell: 701-527-8738	2021-2022	Director, Zone 3 April D. Knight Avondale Elementary School, PreK-5 141 Hawkes Avenue Columbus, OH 43222 School: 614-365-6511 aknight@columbus.k12.oh.us Home: 124 Sourwood St. Pickerington, OH 43147 Cell: 614-216-9134	2019-2022
Vice President Liza Caraballo-Suarez, Ed.D. Magnet School of Architecture, Engineering & Design - P.S. 120, PreK-5 18 Beaver Street Brooklyn, NY 11206 School: 718 455-1000 lcara@schools.nyc.gov Home: 64 Sharon Street Brooklyn, NY 11211 Cell: 917-407-3843	2021-2022	Director, Zone 4 Ann-Marie Gleason, Ed.D. Harpeth Valley Elementary, Pre-K-4 7840 Learning Lane Nashville, TN 37221 School: 615-662-3015 ann-marie.gleason@mnps.org Home: 1300 Westvale Drive Nashville, TN 37221 Cell: 615-483-8109	2019-2022
Director, Zone 1 John Quinn Clara Barton Elementary School, 2nd-4 th grade 25 Depot Road Oxford, MA 01540 School: 508-987-6066 jquinn@oxps.org Home: 6 Erie Drive Hudson, MA 01749 Cell: 617-974-4777	2020-2023	Director, Zone 5 Amy L. Dixon, Ed.D Lincoln & Jefferson Attendance Centers, K-3 713 Fourth Street Carmi, Illinois 62821 School: 618.382.7016 adixon@carmischools.org Home: 1412 County Road 750 E. Carmi, Illinois 62821 Cell: 618-599-4791	2021-2024

2021-2022 NAESP Board of Directors

Director, Zone 6

James Edmond Jr., Ph.D.

Woodside Elementary School, K-4
W236 N7465 Woodside Road
Sussex, WI 53089-2005
School: 262-820-1530
Fax: 262-820-0314
edmoja@hamilton.k12.wi.us
Home: 17150 Burnet Street
Brookfield, WI 53005
Cell: 262-794-2978

2019-2022

Director At Large, Middle

Kevin Armstrong, Ed.D.

DuPont Hadley Middle School, 5th-8th grade
1901 Old Hickory Blvd.
Old Hickory, TN 37138
School: 615-847-7333
kevin.armstrong@mnps.org
Home: 3013 W. Towne Village Ct.
Antioch, TN 37013
Cell: 615-513-4552

2019-2022

Director, Zone 7

Matthew Lewis

Garfield Elementary School, K-1
415 East Boulevard Street
Lewistown, Montana 59457
School: 406-535-2366
mlewis@lewistown.k12.mt.us
Home: 716 West Watson Street
Lewistown, Montana 59457
Cell: 406-366-1334

2021-2024

Director At Large, Minority Level

Ramona Marie Dunn

New Mark Middle School, 7th -8th grade
515 NE 106th Street
Kansas City, Missouri 64155
School: 816-321-5290
ramona.dunn@nkcschools.org
Home: 4708 NE Pocono Circle
Lee's Summit, Missouri 64064
Cell: 816-463-1961

2021-2024

Director, Zone 8

Victorius Eugenio

Daggett Montessori School K-8
801 W. Jessamine
Fort Worth, TX 76110
School: 817-814-6300
victorius.eugenio@fwisd.org
Home: 505 Highpoint Ln.
Mansfield, TX 76063
Cell: 214-538-2908

2020-2023

Ex-Officio Board Member

Executive Director

L. Earl Franks, Ed.D.

703-684-3345
efranks@naesp.org

Director, Governance Services

Jennifer Shannon

703-518-6286
jshannon@naesp.org
Cell: 703-927-8139

Director, Zone 9

Scott Borba

Le Grand Elementary School, K-8
13071 E. Le Grand Rd.
Le Grand, California 95301
School: 209-389-4515
sborba@lgelm.org
Home: 3060 Chardonnay Way
Atwater, California 95301
Cell: 209-917-6086

2021-2024

August 2021		September 2021	
EVENT	DATE	EVENT	DATE
New Vice President & Zone Director's Term begins	August 1	Officers' Meeting & Incoming Board Orientation (NAESP Headquarters in Alexandria, VA) <i>Officers Travel on Sept. 9; Officers meeting on Sept. 10, New board members travel on Sept. 10, Orientation on Sept. 11, travel home on Sept. 12)</i>	September 10-12
		2 nd year board members make contact with the regional education association executive director to attend an overseas schools conference	September 30
October 2021		November 2021	
EVENT	DATE	EVENT	DATE
Prospective Candidate Data Forms due to NAESP for Vice President 2022-2023	October 1	Prospective Candidate Data Forms due to NAESP for Zones 3, 4, 6 and Director At Large, Middle for the term of August 1, 2022—July 31, 2025.	November 1
Membership Committee Conference Call Vice President chairs the committee. President-elect also attends.	TBD	Resolutions Committee Meeting <i>Whole Group Meeting</i> —President-elect chairs the committee. Vice President also attends	November 4
Fall Board Meeting (Capital Hilton Hotel, Washington, D.C.) (Board arrives on October 5 and departs on October 9)	October 6 8:30am-4:30 pm ET	Nominating Committee Meeting <i>Virtual meeting</i> —no board responsibility	November 9
National Distinguished Principals Program (Capital Hilton Hotel, Washington, D.C.)	October 7 & 8		
December 2021		January 2022	
EVENT	DATE	EVENT	DATE
2 nd Resolutions Committee Meeting <i>Whole Group Meeting</i> —President-elect chairs the committee. Vice President also attends	December 9	2 nd Membership Conference Call Vice President chairs the committee. President-elect also attends.	TBD

February 2022		March 2022	
EVENT	DATE	EVENT	DATE
Spring Board Meeting (Washington D.C.) (Board travels on Feb. 25, board departs on March 3)	February 26	NAESP 2022 Election	March 1 -(opens) March 11 (closes)
General Assembly (5:00-6:30 pm ET)	February 27	Election Audit Board Meeting <i>Virtual</i> —no board responsibility	March 14
National Leaders Conference	February 28- March 2		
April 2022		May 2022	
EVENT	DATE	EVENT	DATE
June 2022		July 2022	
EVENT	DATE	EVENT	DATE
		New membership year and new fiscal year	July 1
		Summer Board Meeting (Louisville, KY)	July 13
		Travel Day-July 12	
		Steering Comm. Mtg.-July 12afternoon (Officers only)	
		Board Meeting/Board Dinner-July 13	
		Community Service Day-July 14	
		Travel Home-July 18	
		2022 Pre-K-8 Principals Conference™ (Louisville, KY)	July 15-17
		Nominating Committee is determined (following State Reps Meeting) President chairs the meeting; President-elect assists President.	

Future Events

National Distinguished Principal™ (NDP) Awards Program

October 7-8, 2021 – Capital Hilton, Washington, DC

NAESP Pre-K-8 Principals Conference

July 15–17, 2022 in Louisville, Kentucky

July 10–12, 2023 in National Harbor, Maryland

NAESP National Leaders Conference

February 27-March 2, 2022 – Washington, D.C.



Advocacy Update

- **American Rescue Plan Implementation, Principal Engagement Efforts**

NAESP is continuing to engage in the implementation of federal coronavirus relief funding, including American Rescue Plan (ARP) funds. State education agencies (SEAs) and districts must meaningfully engage a wide swath of stakeholders, including principals, about how these funds should be allocated. The SEA and district use of funds planning requirements present a huge opportunity for the principal voice to be brought to the table. To that end, NAESP is focusing advocacy efforts on ensuring principals are meaningfully consulted throughout this process. NAESP recently collaborated with Dr. Marguerite Roza of the Edunomics Lab to release a [resource for principals](#) on ways they can engage with their district to ensure funds are used to address the needs principals view as most urgent. NAESP Executive Director Dr. Earl Franks, CAE, and NASSP CEO Ronn Nozoe previously wrote an [op-ed published in The 74](#), laying out four key reasons why leveraging principals is critical to successful ARP implementation.

- **K-12 Infrastructure**

To fully maximize the ARP, NAESP has been pushing Congress to address an issue that preceded the pandemic: outdated and crumbling K-12 facilities due to decades of underinvestment. NAESP has been working with Congressional leaders to provide at least \$100 billion in direct grants to help schools and districts make necessary school facility upgrades. Investments in K-12 infrastructure are needed in most areas, but the need is especially acute in low-income school districts that lack a robust tax base. Though a deal has so far [remained elusive](#), NAESP will continue to push Congress in the coming months to support K-12 infrastructure and help bring America's school buildings into the 21st century.

- **FY22 Budget**

In May, the Biden administration released its FY22 Budget, which included a nearly 40 percent increase in funding for the U.S. Department of Education. In mid-July, the House Appropriations Committee passed this funding bill and it now heads to the full House for a final vote. The Senate Appropriations process will likely begin in September. A few highlights of the funding bill:

- \$36 billion for Title I, an increase of \$19.5 billion over FY21 levels
- \$17.2 billion for IDEA, an increase of \$3.1 billion over FY21 levels
- An additional \$1 billion to increase the number of counselors, nurses, and mental health professionals in K-12 schools
- \$2.3 billion for Title II, an increase of \$150 million over FY21 levels

- **Federal Funding for Remote Learning**

The Federal Communications Commission [announced a 45-day application window](#) (deadline August 13) for a new \$7.2 billion fund, included in the ARP, which provides funding to schools and libraries to purchase devices and improve internet access for students. Allowable purchases include laptop and tablet computers, Wi-Fi hotspots, routers, modems, and broadband Internet connections for use by students, school staff, and library. Funding is limited to students, school staff, and library patrons who would otherwise lack access to connected devices and broadband internet services sufficient to engage in remote learning during the COVID-19 pandemic.

Professional Learning Update





- **APs Rising Listserv:** Equetta Jones will continue to serve as the AP Rising Listserv moderator for the rest of this year. Monthly check-in meetings with Dr. Gracie Branch, Honor Fede and Dr. Kaylen Tucker are being scheduled to plan upcoming AP Listserv activities. These meetings will also serve to continue to explore new ideas and ways to increase participation in the AP Rising professional learning community.



- **Professional Learning Playbook:** The Professional Learning Playbook took a brief pause for the month of July to focus on conference and will resume in the month of August.
- **National Mentor Training and Certification Program:** NAESP has completed its contracted mentor training services for Cypress-Fairbanks Independent School District (TX) and Miami-Dade County Public Schools (FL). On June 14, Dr. Gracie Branch facilitated recertification training on site in Houston, TX for 8 Cypress-Fairbanks leaders, and on June 16-17 NAESP trainer Dr. Ann Lalime facilitated the Leadership Immersion Institute (LII) for 14 Cypress-Fairbanks leaders. These were the first in-person mentor trainings that have taken place since the pandemic.
On June 21-24, NAESP conducted two LII sessions for a total of 40 school leaders from Miami-Dade County Public Schools. NAESP trainers Dr. Lydia Davenport and Shauna Kauffman served as facilitators. The majority of these participants were not members of NAESP, so Jackie McGrail has been in touch with the Florida Association of School Administrators and sent a membership proposal to the Miami-Dade County district leadership in an effort to recruit them to join the association. NAESP will continue to offer school districts the ability to choose between virtual or face-to-face training formats for all future contracts.
- **National Aspiring Principals Academy (NAPA):** The second cohort of the National Aspiring Principals Academy wrapped up the 6th and 7th months of instruction through virtual meetings with instructors Dr. Gail Pletnick (AASA) and Eric Cardwell (NAESP) program mentors, and special guest presenters on June 28-29 and July 26-27. The cohort members are finalizing their capstone projects and preparing for graduation from the academy in August. Preparations continue for the 2021/2022 NAPA cohort which will begin in October. The application opened on June 1 and will close on September 10. The NAESP staff is focusing on promotional efforts through our various e-newsletters (Communicator, Principal Insights, PL Playbook), email, social media plus targeted messages to the APs Rising group and recent winners of the National Outstanding Assistant Principal award. Additionally, a promotional message was sent to 175k principals, assistant principals, and superintendents utilizing the MCH marketing service. To date, 7 people have applied to the academy; the goal is to accept a total of 25 participants in the cohort.
- **NAESP Pre-K–3 Leadership Academy:** In Nebraska, Cohort 2 participants are half-way through the first course and are pleased with the revamp of Course 101 content. Discussions are underway with advisors about possible problems of practice and areas of competency interest. Of the 25 participants who began the program two participants have resigned (one transferred into a different position and another took a medical leave of absence). In Alabama, Cohort 5 participants have completed Lesson 6 of Course 101 and are also having Zoom discussions with their advisors about possible problems of practice that they might want to pursue as capstone projects in Course 201. Of the 19 participants enrolled, no one has left the program. NAESP staff is currently working to revamp Course 201 course materials in time for the transition to the next course in September.
- **Leading Pre-K–3 Learning Communities: Competencies for Effective Principal Practice:** *Leading Learning Communities: A Principal's Guide to Early Learning and the Early Grades (Pre-K–3)* publication with executive summary has been printed and set up on our website for book orders. To date, we have received 83 orders and 278 publications have been mailed out. All of the 180 copies of the book shipped to Amazon for sale online at their website have been sold and 180 additional copies of the book were shipped to Amazon on Friday, July 23, 2021.



The **NAESP Centers for Advancing Leadership** provide focused development for elementary and middle-level principals throughout the nation. While similar in nature, each Center will develop its own approach to deepen and broaden learning focused on the learning interests of participants. Each Center is led by fellows who are well respected, experienced leaders with a track record of connecting with colleagues and creating powerful professional networks. The NAESP Centers for Advancing Leadership fellows met on June 17 to prepare for the conference and discuss plans for the coming year. Center updates are as follows:

 Diversity NAESP Center for Diversity Leadership	The Center for Diversity Leadership fellows Dr. Ryan Daniel and Edgardo Castro presented at the 2021 NAESP Conference, on topics such as building trust, engaging the school community, preparing for the next year, and forward thinking.
 Innovation NAESP Center for Innovative Leadership	NAESP's Center for Innovative Leadership (ILC) fellows Adam Welcome and Dr. Rachael George provided a podcast entitled Preparing for Chicago 2021 offering advice, encouragement on how to connect and tips to get the most out of the conference. In addition, Rachael and Adam provided a networking session at the recent NAESP Annual Conference in Chicago in the Centers for Advancing Leadership Exchange. Many members of the Innovative Principals Circle were present and met together in person for the first time.
 Middle Level NAESP Center for Middle-Level Leadership	On July 9, Fellows Jessica Cabeen and Dr. Kevin Armstrong moderated an engaging discussion as part of the Centers for Advancing Leadership informational sessions which took place at the summer conference. They were able to collect a list of topics from participants to aid in planning Center content and activities for next year. They hope to implement monthly opportunities for middle-level leaders to connect virtually and share resources.
 Women NAESP Center for Women in Leadership	On July 9, the Center hosted a successful breakfast session sponsored by Dr. Ruby Payne's organization (aha! Process, Inc) for 45 women leaders including NAESP board members, past presidents, state affiliate leaders, and book study facilitators. Fellows - Dr. Andrea Thompson and Jessica Gomez engaged the audience in table talk discussions to plan new activities and content for the coming year. Among the many ideas exchanged, there was strong support for the Center to host an in-person/virtual Women in Leadership conference or summit in partnership with AASA. In the fall, the Center will begin a new national book study group with the book: "Confidence Code" by Katty Kay and Claire Shipman. Recruitment for facilitators will begin in August.

- **National Panel of New Principals (NPNP):** Plans are currently underway to engage new principals with specific resources tailored for building leaders in their first and second year of the principalship. We are "optimizing systems," internally at NAESP and working cross departmentally to ensure our members are receiving the most engagement and support from NAESP.
- **Virtual Learning Opportunities:** On Friday, July 23rd, NAESP's professional learning team planned the webinar schedule for the upcoming year. The new webinar schedule will run from August through June and include a variety of webinars geared for assistant principals, beginning/early career principals and veteran principals. In addition, NAESP will continue to offer a series of webinars, as needed, for our partner organizations.
- **The Professional Learning Advisory Council (PLAC):** The upcoming year's PLAC meetings have been scheduled as follows:
 - Thursday, October 28, 2021: 4 - 5 p.m. ET
 - Thursday, January 13, 2022: 4 - 5 p.m. ET



- Thursday, April 21, 2022: 4 - 5 p.m. ET
- Thursday, June 16, 2022: 4 - 5 p.m. ET

- **Center on Improving Literacy Through Supporting Elementary School Leaders:** NAESP, in partnership with the University of Oregon, is in the process of planning the upcoming year's grant activities. Both the Lead for Literacy Center and NAESP feel that last year's multi-session literacy webinar series was a success.
- **Wallace Grant:** The NAESP Wallace team composed of representatives from Communications and Professional Learning successfully concluded three Wallace focused conference sessions as follows:
 1. *"School Improvement Begins With a Change in School Culture"* with Dr. Andrea Thompson and Karen Woodson. Evaluation results from 20 respondents in the session show:
 - 16 were school leaders, 1 was an educator, and 3 were from an education organization.
 - Usefulness of the session: Extremely Useful - 15%; Very Useful - 50%; Somewhat Useful - 35%
 - Level of Understanding: Clear Understanding - 25%; Better Understanding - 50%; Some Understanding - 25%
 Three major reflections on the session include the following participant statements:
 - I have much needed tools for school improvement and appreciate the toolkits shared.
 - The tools will be useful for building parent capacity and provide good resources to have with my mentees and protégés.
 - I will definitely share the resources and strategy planning through an English Language Learner (ELL) lens. In addition to using the Baldrige Strategic Planning guide to remain focused on mission/vision.
 2. *"Empowering Assistant Principals"* with Equetta Jones, our moderator for the AP's Rising Listserv and Dr. Ellen Goldring from Vanderbilt University (Wallace researcher).
 - All were school leaders
 - Usefulness of the session: Extremely Useful - 13%; Very Useful - 39%; Somewhat Useful - 26%; Not Very Useful - 13%; Not Useful At All - 9%
 - Level of Understanding: Clear Understanding - 35%; Better Understanding - 26%; Some Understanding - 30%; No Understanding - 9%
 Three major reflections on the session include the following participant statements:
 - Make sure that I'm supportive of assistant principals.
 - The research was very interesting and I would like to look into the study a little more. APs are important to the work of the entire school.
 - I liked the data that was shared about the lack of support for APs of color and women of color.
 3. *Wallace Focus Group for early career principals.* The focus group consisted of 8 beginning principals with 1-3 years of experience. The group was asked their thoughts on a series of questions around: their leadership journey; their assistant principal or pre-service experience or lack thereof; how they promote equity as a leader; how NAESP can support them. Evaluation results from the 8 respondents in the session show:
 - Usefulness of the session: Extremely Useful - 50%; Very Useful - 50%
 Three major reflections on the session include the following participant statements:
 - The principalship is difficult in every level in every community.
 - We have to have deeper conversations about equity.
 - This was an opportunity to hear that others are going through the same experiences and that there is a need for networking, collaboration and a mentorship group for new principals.
- **2021 Pre-K-8 Principals Conference:** The 2021 Pre-K-8 Principals Conference in Chicago presented NAESP with many challenges due to the pandemic, and opportunities to provide the highest quality professional experience for our attendees. The conference, although smaller in scope, still maintained the high standards as previous conferences.

Final Conference Attendance:

584 - Members

268 - Non members

52 – Guests

66 - Speakers

136 - Exhibitors (42 Companies)

1,106 - TOTAL ATTENDANCE

Conference Survey:

A post-conference survey was sent to attendees to receive their feedback from the conference. The preliminary results indicate the highest rated reasons and key factors in deciding whether or not to attend the conference were professional learning and networking. The results also indicate more intentional, focused networking opportunities are needed to make meaningful connections and promote leadership development.

Some highlights from the evaluation worth noting:

- How did you hear about the conference:
 - 43.33% - Previously attended the conference
 - 17.22% - A colleague
 - 15.56% - State association
 - 13.89% - NAESP promotion 584 Members
- Main Factors for attending the conference:
 - 72.78% - Professional learning
 - 71.67% - Networking/connections with other educators
 - 48.89% - Location
 - 47.22% - Keynote/Featured Speakers
- Does your school district pay for your professional learning?
 - 67.78% - Yes
- The highest rated areas:
 - Location
 - Keynote Speakers
 - Conference App
 - Conference Facilities
 - Concurrent Session Content
- The lowest rated areas:
 - Exhibit Hall/vendor interaction and location
 - Conference Bookstore
 - Pre-Conference Workshops
 - Cost (Chicago is too expensive)
 - Room space was not always adequate for sessions (due to social distancing requirements)
- **2022 Call for Proposals:** The Call for Proposals will open mid-September. NAESP will survey members prior to preparing the call for proposals to ensure the most pressing professional learning needs are reflected in the sessions being offered.



Communications Update

- **Publications**

NAESP's editorial calendar is in production with regular dissemination of *Principal* magazine, *Leading Lessons* staff guide, *Communicator* e-newsletter, *Report to Parents* parent bulletin, *APs Rising* e-newsletter, and *Principal Insights* news aggregate.

- *Principal* magazine

- The Sept/Oct 2021 issue of *Principal* will provide guidance on how to Pivot and Reset as principals return to schools post-pandemic. Articles to address how principals' priorities have shifted in management and instructional leadership, addressing accelerated learning, locating and re-engaging students, and reprioritizing school improvement. The issue includes a special insert commemorating NAESP's 100th anniversary.
- Upcoming magazine themes include mental health, advocacy and engagement, early learning, and equity/assessment/accountability.

- **Communicator Refresh:** In light of the new design for *Principal* magazine and the NAESP website, we've also refreshed the look of our monthly digital pub *Communicator*. The new look features a new header and tagline, a completely different layout with featured images and buttons, ads incorporated into the copy instead of placed in a right sidebar, and a spotlight on member benefits every issue.

- NAESP is updating and re-launching its e-newsletters, starting with one focused on Early Career Principals. The new suite of resources for Early Career Principals will launch in November, and will include a column in *Principal* magazine, a custom e-newsletter, and a webinar series.

- **Email Engagement:** Between May 25 and July 28, NAESP sent 21 emails to members, including conference promotions, NAESP publications, and membership benefits. The average open rate was 21 percent.

- **High performing emails (Open rate):**

- Message to Members on Past Year (6/21/21) – 27%
- Communicator (7/25/21) – 23%
- Communicator (6/24/21) – 22%

- **Social Media Strategy:** Our goals with our social media strategy are to establish NAESP as a thought leader in several key focus areas, reinforce the value of membership and benefits, engage state affiliates, and promote NAESP events, programs, and initiatives. We also use social as an opportunity to support our strategic partners and to provide a place for principals and assistant principals to connect.

- Instagram: NAESP's Instagram (@thenaesp) is up from 1,380 to 1,447 followers. The big boost in followers comes from coverage of the NAESP Pre-K-8 Principals Conference and a series of SEL posts using data from The Wallace Foundation research.
- Twitter and #NAESPchats: Twitter followers have gone up from 47,200 to 48,100, thanks to the coverage of the NAESP Pre-K-8 Principals Conference. We held a Twitter chat June 9, 2021, on building a professional network in-person and virtually to lead into the conference. Hosted by all of the fellows of the Centers for Advancing Leadership, the chat had more than 500 tweets, 49 contributors, and a potential reach of just over 400,000. Our next Twitter chat, hosted by Allyson Apsey and Center for Women in Leadership fellow Jessica Gomez, is Aug. 11 at 8 p.m. ET and will be a discussion on back-to-school strategies for staff engagement.
- Facebook: We currently have 13,395 likes on Facebook, up from 13,238 the last time we reported, and 15,558 followers, up from 15,342. We recently posted a series of posts on SEL using data from The Wallace Foundation research and an album of photos highlighting events at the NAESP Pre-K-8 Principals Conference.

- LinkedIn: NAESP's LinkedIn account serves as an opportunity to position NAESP as a thought leader in the industry. The NAESP LinkedIn page has 10,214 followers, up from 10,040 followers. We post our NAESP Principal Podcast episodes on LinkedIn, which typically garner high engagement. The NAESP discussion group has 13,989 members, up from 13,764 members.
- **Video:** We recently invited our members to record video messages to help NAESP celebrate its 100th anniversary. 30 members took part, enabling to create a fun, uplifting video Tribute that we showcased at the NAESP booth at the NAESP conference, on social media, and before the closing keynote speaker took the stage at the conference. We also will be creating an NAESP National Distinguished Principals video, with Earl giving his congratulations on behalf of NAESP that can be customized for NDPs who request it. And to celebrate National Principals Month in October, new NAESP President Paul Wenger will record a video message to kick off the month-long celebration.

Membership & Marketing Update

- **Membership** as of July 26 is **12,361** for our key categories: Active, Assistant Principal, and Institutional Active. A reminder, we had over 3,000 memberships expire on June 30. We have seen our membership numbers increase as a result of all of our efforts, including the Feathr and CSG campaigns. In a year over year comparison of our key categories, we have exceeded the prior six years membership!
- **New Members & Rejoins in June**

Total New: 99	Key: 88	Direct: 41
Total Rejoin: 51	Key: 47	Direct: 18
Combined: 150	Key: 135	Direct: 59
- **Member Thank You Email** from Dr. Franks was sent to all members June 21. A message in appreciation of all their hard work and efforts and remind them we're here to support them.
- **Membership Growth Initiative:** Contracted with an external marketing company to create a multi-message email campaign targeting non-members across the United States. Timeline: mid-June through early August.
 - Message 1 featured Edgardo Castro with professional liability; deployment began June 23. Metrics:

Sent	164,897	Deliverable	158,850
Total opens	11,112	Unique opens	7,385
Total clicks	324	Unique clicks	223
		Most clicked item	Membership page
 - Message 2 featured Kimbrelle Lewis with professional learning; deployment began July 14. Metrics:

Sent	164,251	Deliverable	160,022
Total opens	15,842	Unique opens	10,936
Total clicks	340	Unique clicks	261
		Most clicked item	Membership page
 - Message 3 will feature Dr. Kevin Armstrong with professional learning and deployment will begin August 4. The fourth and final email in this campaign will focus on advocacy. Metrics will be provided following their successful deployment.
- **Staffing Announcement:** Cynthia Demery, NAESP Manager, Membership Processing, resigned July 23 due to health issues. We appreciate her years of service and commitment to NAESP and our members. We are currently seeking her replacement and hope to have the position filled in the coming weeks.

- **Feathr Campaign Part Two (as of July 21):**

- Results are reviewed weekly. Almost without fail, our views, clicks and reach grew week over week. Definitely successful in reaching prior or potential members across the country.
- Views: 164,461 (9 views per user)
- Clicks: 979 or 0.60%
- Unique Clicks: 891 (total people who clicked on the material)
- Reach: 17,520
- Net New Audience: 7,125 (the combined audience from all audience expansion campaigns in the Flight)
- Conversions: 11*
 - *Although they tracked only 11 conversions through their process, we have received many more new and or rejoin memberships since the campaign began. A full wrap-up will be provided in the next update.

- **Strategic Plan Goals**

- *Goal 1: Increase Member Retention and Retention Efforts (key points below)*
 - Design a welcome message for all: Software upgrade to our system is complete. Each new, renew and/or rejoin member – direct and chapter – will receive an automated welcome message from Dr. Franks. These letters reinforce our appreciation to them as part of our community and remind them of ways to use the available resources.
 - Learn why members are not renewing: Exit Survey also complete. Results provided in last update.
 - Contact non-renewing member: In March/April sent out cards to any member with 10 or more years of membership. In April, Feathr created an email campaign to all lapsed members to recruit them back. The campaign ends July 31. Will evaluate and consider reactivating later in the year.
 - We have added a new touchpoint to remind members that their membership is expiring. The first two issues of *Principal Insights* sent each month now include an “alert” reminding them their membership expires this month! Chapter members have one message/link; direct, another.
- *Goal 2: Expand Recruitment Efforts*
 - Grow the number of new members: this is being accomplished through both Feathr and CSG. Our contract with CSG is for a four-part email campaign, which began in June and will wrap up in August. Our membership is growing and that is attributed to both Feathr and CSG. We are looking ahead to whether we want to create a Phase Two with CSG later this year and not lose momentum.
 - Expand reach: ongoing through social media, MCH (push out CSG campaign as well as our own); and updating our imaging and messaging.
- *Goal 3: Improve Internal Operations*
 - Ongoing evaluation and determine additional areas to gain efficiencies.
 - New report queries were created for both weekly reporting and monthly dues notices. This helps not only with consistency of data but also reduced the dues notice reports from four to one.
 - We have inquired if our software has the capability to automatically email renewal reminders to members at the 90, 60 and 30 days prior.
 - Direct members receive multiple notices through USPS both before and after the expiration date. If we can add automated reminders, we can hopefully reduce the time and money spent in creating and mailing paper notices.
 - Dues notices are sent not only to direct members but also on behalf of eight state affiliates. Again, prior to and following the expiration date.
 - Goal is to increase retention by reducing the number of memberships that expire and/or lapse.



- **Supporting State Affiliates**

- Brief meetings with three affiliates in Chicago: (1) regarding pursuing a joint or more collaborative relationship to grow membership; (2) finalizing plans for NAESP to do their processing, etc. Additional calls need to be scheduled; and (3) concern about timing of renewals between expiration date and renewal date when renewals are received after the expiration date, causing some concern. Note, the majority of chapter renewals are received after the membership expiration date.

- **Member Demographics** – update to our system is complete. Next we will collaborate with the Communications team to promote the importance of completing the member profile. Not only do we need to know who our members are to better serve them, its important data we need to have available when applying for grants, soliciting partners, advertisers, etc.
- **State Transmittals and Purchase Orders** have noticeably increased in July compared to recent months. POs not just to renew, but for new and rejoins as well. June and July MTD we have received 56 state transmittals for almost 900 members. We have processed almost 100 POs, again June and July MTD.

Governance/Organizational/Foundation & Partnerships Update

- **Chicago Travel Expenses:** Please submit your travel expenses from Chicago to Jennifer Shannon ASAP.
- **Officers Meeting & New Board Member Orientation (officers' & new board members only):** This meeting will be held at the NAESP office in Alexandria, VA, September 9-12, 2021, for officers and new board members only. Officers will travel on Thursday, September 9 for an Officers' meeting on Friday, September 10. New board members will travel on September 10. The new board orientation will be on Saturday, September 11. Everyone will travel home on Sunday, September 12. Please submit your *Travel Authorization Form* to Jennifer Shannon.
- Congratulations to our board members whose terms of office begin August 1, 2021 including: NAESP Vice President Liza Caraballo-Suarez, Ed.D. (NY), Zone 5 Director Amy Dixon, Ed.D. (IL); Zone 7 Director Matt Lewis (MT); Zone 9 Director Scott Borba (CA); and Director At Large, Minority Ramona Dunn (MO).
- All incoming Directors will be assigned mentors by incoming President Paul Wenger.
- Zones 3, 4, and 6 will elect new Zone Directors in 2021-2022.
- The board will elect a new Director At Large, Middle during their winter board meeting in February 2022.
- The announcement and call for nominees for all open positions will be sent next week.
- For all open positions, contact Jennifer Shannon to request the electronic Prospective Candidate Data form. A document outlining these positions with roles, responsibilities, and selection procedures can be found [here](#).
- **NAESP Foundation Online Auction:** The online auction held July 7-12, 2021, raised \$4,437.56. We had 55 people access the auction website and 19 total bidders. We intend to hold future online auctions utilizing the GiveSmart platform. Please contact Jennifer Shannon if you have an item donation or suggestion.
- **State Executive Directors Orientation:** A virtual State Executive Directors Orientation will be held in August or September. The orientation date will be determined by the results from the poll sent to executive directors. This will be a virtual meeting open to new and existing state executive directors to hear about current activities, resources and benefits from NAESP staff in each of the core service areas.
- **National Distinguished Principals (NDP) Program:** The 2021 class of NDPs recognizes 37 principal honorees from 36 states, and 3 from the Department of State Overseas Schools (40 total). Preparations continue for the 2021 NDP recognition event this October 7-8 in Washington, D.C. Recognition of the 2020 class of NDPs at the conference in Chicago was a great success.
- **National Outstanding Assistant Principal (NOAP) Program:** The 2019-20 and 2020-21 classes of NOAPs were recognized on stage during the final keynote session at the conference in Chicago. Applications for the 2021-22 NOAP year will be shared with the states in early September 2021.



- **American Student Council Association (ASCA):** We continue to market ASCA to increase membership enrollment, as well as invoice on a monthly basis to increase member retention. The ASCA Newsletter will resume production in September 2021 and be emailed monthly to advisors.
- **President's Education Awards Programs (PEAP):** Ordering for the 2021 PEAP year closed at the end of June. Our preliminary final numbers indicate a decrease in the program's participation this year, following the same pattern we've seen over the past few years.
- **NAESP 100-Year Anniversary Art:** The 100th anniversary artwork piece and the interactive website were unveiled at the 2021 conference in Chicago to great reception. NAESP continues to use milestones from over the years to promote its 100th anniversary on social media, as well as share the new "NAESP Presidents: Representing 100 Years of Leadership" video that was curated from the Past Presidents Gallery at NAESP Headquarters.
- **NAESP Office Reopening:** NAESP Offices reopened July 1, 2021. The majority of NAESP staff continue working remotely, while a few have adopted a hybrid format based on their position and duties.

Business Partnerships Update

- **Partners at Conference:** Each partner that joined us in Chicago was very pleased with the event and commented on the positive energy. Some expressed concern that the exhibit hall was out of the way with less traffic than expected. Our two newest partners, Becton Dickinson and Harmony Inspire were able to join us. Lysol was the only partner that didn't attend, due to travel restrictions. They were appreciative of our flexibility to ensure they were "present" at the event by providing most of their deliverables as if they were there. We will regroup with Lysol to identify acceptable alternatives for the items we could not provide in their absence.
- **Monthly calls** continue with each partner to review what's occurred and what's coming up.
- **New:**
 - Harmony Inspire (SEL); and
 - Becton Dickinson (B-D; school-classroom COVID testing)
- **Prospects:**
 - Continue to speak with potential partners, review the program options, and create a proposal; or
 - For those that cannot commit to a partnership, sharing our media kits for digital and print advertising.
- **Ongoing support** and promotion of our partners through communications, including:
 - *Communicator:*
 - Partner recognition and links in each issue
 - Ad: 1
 - Content: 2
 - *Principal:* Cover placement ads remain reserved for partners
 - *Report to Parents:* June and July n/a
 - *Webinars:* August with B-D
 - *Emails:* Member Benefits, 2; Partner, 0
 - *Videos:* none scheduled



NAESP Staff External Participation

- NAESP Pre-K-8 Principals Conference, Chicago, IL
- Nebraska Pre-K-3 Leadership Academy advisor check-in meeting
- Pre-K-3 Leadership Academy - Course 201 redesign meeting
- Education Week Interview w/Denisa Superville & Dr. Franks
- Alabama Pre-K-3 Leadership Academy advisor check-in meeting
- Meeting with Sara Vecchiotti, Foundation for Child Development
- Nebraska Pre-K-3 Leadership Academy advisor check-in meeting
- Speak at NAPA Academy - Professional Learning update
- Center for Women in Leadership planning meeting
- Affiliate meetings: Connecticut, Montana, Mississippi, Pennsylvania, West Virginia
- NAESP Leadership Team meetings
- Meetings w/state executive directors
- Conference planning meetings
- LFA board meeting
- VAESP Conference
- Meeting w/Tom Shearer (OSAC)
- Meeting w/Ron Nozoe
- Coalition to Advance Future Student Success Meeting
- Bi-weekly call with House Appropriations Committee (Majority and Minority)
- Bi-weekly call with Senate Education Committee (Majority and Minority)
- Bi-weekly call with House Education Committee (Majority and Minority)
- Weekly call with E-Rate/Homework Gap Coalition
- Pre-K-3 Leadership Academy - Course 201 redesign meeting
- Partner meetings (Forrest T. Jones, Lifetouch, LSI, Lysol, Horace Mann)
- Amazon Business
- CilaLabs
- Crisis Prevention Institute
- Gallagher
- Harmony Inspire
- YEM
- ShopWithScrip
- 1st Day School Supplies
- MCH
- Logitech
- Hope Rising
- JASON Learning
- Reagan Institute Summit on Education (RISE)
- K-12 Stakeholders Meeting
- Metro Square (building) meeting
- Weekly call with Council of Chief State School Officers
- Weekly call with National Governors Association
- Bi-weekly call with Senate Appropriations Committee (Majority and Minority)
- Weekly call with Committee for Education Funding (CEF)
- Monthly call with Civil Rights Groups
- Bi-weekly call with Big Table Education Groups
- Weekly Preschool Development Grant B-5 Connections Call
- Weekly call with Public Service Loan Forgiveness Coalition

Potential Partner or Advertiser List from June through late July 2021 contacts

Organization	Interest	Timing	Comments	Next Steps
<i>*denotes current partner or in process of discussing possible renewal</i>				
ADT	Yes	2021	Member benefit and non-dues revenue opp. Review and sign agreement.	Agreement not yet signed.
Becton-Dickinson / BD*	Yes	2021	The CEO/President emailed Earl regarding partnership. I followed up with him and team. While prelim was wanting to partner without funding, a proposal and phone calls has resulted in a formal agreement.	Agreement signed for Gold Partnership. Payment expected July 2021.
Braun Research	Yes	2021	Survey with members and research. Provided basic info; no response.	Need additional details before making decision.
CilaLabs	Yes	2021	Call held in June. Need to follow-up.	
Class Link	Yes	2021	In-person meeting scheduled early August.	
Comcast Internet Essentials*	Yes	2021	Renewal hasn't been finalized; need to regroup and discuss options.	To follow-up August 2021.
First Book	Yes	2021	Call held. They're interested in sharing their resources with our members, without funding.	
Forrest T Jones*	Yes	2020-21	Continue as is.	
Gather Voices	Yes	2021	Virtual-video-platform and services.	Consider after WeVideo.
GiftCardAid - ShopWithScrip*	Yes	2021-2022	Member benefit and non-dues revenue opp. Review agreement and finalize details.	Agreement signed; program will roll out in late August.
Harmony Inspire*	Yes	2021-2022	Ongoing calls and planning including Dr. Branch. Agreement signed.	Moving forward.
Hope Rising	Yes	2021	Call scheduled for late July.	
JASON	Yes	2021	Want to collaborate on pilot with 40 schools. Currently discussing options internally.	Dr. Branch & I had a detailed call with them. Under consideration. An in-person meeting to occur early August incl AASA.
Landscape Structures*	Yes	2021	Renewal talks continue. Budget challenges due to COVID.	
Lifetouch*	Yes	2018-2021	Three-year contract signed; expires 6-30-2021	Have had a number of discussions; proceeding with formal notification.
Logitech	Yes	2021	Discussing partnership with in-kind options	
Lysol (Reckitt Benckiser)*	Yes	2020-2022	NAESP's first ever President Partner! Agreement 11-1-2020 to 10-31-2021	They will renew! Discussions regarding deliverables scheduled for early August.
National Inventors Hall of Fame	Yes	2021	Shared info in June. No response.	
Office of Civil Rights - Federal Aviation Administration	Yes	2022-23	Proposal submitted for Fiscal 2023 year.	Continue contact
Pursuit Stream / Sports	Yes	2021	Multimedia financial education platform. Founder has some big name sports figures.	Hoped we'd share his platform, without \$\$\$. Suggested some of them could sponsor our partnership. Under consideration.

Organization	Interest	Timing	Comments	Next Steps
Responsibility.org (Ask, Listen, Learn)*	Yes	2020-2021	Contracted signed and in effect Nov/Dec 2020	
Share Our Strength / No Kid Hungry***	Yes	2021	***Contract expired 6-30-20 but extended as not all deliverables provided due to COVID.	Call in late July 2021 to regroup scheduled.
The Business Source*	Yes	2021	Member benefit and non-dues revenue opp. Review agreement and finalize details.	Agreement signed, revenue received. Will repeat process in fall.
The Core Collaborative	Yes	2021	Details provided; no response.	
Tobacco Free Kids*	Yes	2020-2022	They renewed for year 2! Contract signed.	
ChooseBooster	Maybe	2021	Initial communications: 2019 with call held; their budget better for ads	Reached back out June/July; offered call to discuss; no response.
Horace Mann	Maybe	2021-2022	Revisited possibilities. Change in leadership.	Additional discussions needed.
Alertus	No	2021	Third year they've contacted us. Interest in partnership benefit but not the funding.	When that changes, we can discuss options.
Amazon Biz Services	No	2021	First contact since April 2020. Change in some leaders. Shared info from last year's calls.	2021: not sure if they wish to pay for a partnership, which was the case in 2020. Call with them; appears they still do not wish to pay for a partnership.
Association Partner	No	2021	Potential non-dues revenue opps. Calls continue. No decision reached.	Had considered. Lack of response on their partner.
Beehively.com	No	2021	Can't afford partnership. Encouraged them to attend conference and/or advertise.	
Broadcast2World	No	2021	Storytelling program and animated videos. Share without partnership.	Declined.
City Health Tech	No	2021	Effective hygiene in schools. Cannot pursue, conflict with Lysol.	Declined.
Crayola**	No	2020-21	Agreement signed and in place; all deliverables met. Expired 6-30-21.	**Done
Delexe	No	2021	Wanted us to publish their article; provide advertising info	Declined.
E3 Performance Solutions	No	2021	Program geared toward sales teams and companies; not applicable to us.	Declined.
Foldscope	No	2021	Provided partner information; no response	
Hoot	No	2021	Meeting with their team including founder. Advertising may be better fit.	Shared ad info.
Jooble	No	2021	Job and event website; we already have Career Center.	Declined.
Kevin Manning	No	2021	Asked us to share his program with our members; provided advertising info	Declined.
Madgex.com	No	2021	Share info without benefit of partnership	Declined.
Mamzelle Adolphine	No	2021	Requested info on partnership; offered to meet. No response received.	
MTI Group	No	2021	Requested we publish her article on our website. Provided advertising information.	She declined.

Organization	Interest	Timing	Comments	Next Steps
Nassau County International Learning Club	No	2021	Share info without benefit of partnership	Declined.
North Central University	No	2021	Offer their program to our members as member benefit or partner.	Reviewed program, not one we were comfortable recommending. Declined.
NutriStudents K-12	No	2021	They contacted EF; followed-up number of times in 2020. Interested but no funds.	Recontacted 2Q2021 with no response.
Open Up Resources	No	2021	Contacted through our new website; responded to request but no reply at this time.	
PC Nametag	No	2021	Provide nametags, lanyards, hand sanitizer for conference	Forwarded to Deborah Young
Readable English	No	2021	They're partner with IN IASP; interested in expanding. Provided info in early 21 with follow-up in May.	They were an exhibitor in Chicago.
Reading for Education, LLC	No	2021	Provided info including advertising data.	They were an exhibitor in Chicago.
Roadtrip Nation Teachers Community	No	2021	Requested we share their info with our members, without benefit of partnership.	Declined.
School Spirit Socks	No	2021	Contacted Earl through NYCESPA Convention. No response to follow-up request.	They were an exhibitor in Chicago. Gave away socks with the NAESP logo (sans trademark). Additional discussions needed before we proceed.
SchoolMaskPack	No	2021	Provided information, no response yet	
SplashLearn	No	2021	Ed tech company, game based learning. Pursuing digital advertising instead.	Provided contact info and quote requests to both Fox and MultiView based on her needs.
ThoughtIndustries	No	2021	Offering to sell us use of their platform; forwarded to Dr. Branch	
TransUnion	No	2021	Contacted through our new website; responded to request but no reply at this time.	
WeVideo	No		Withdrew agreement due to variety of factors	
Wintergroup	No	2021	Call/email held on behalf of their client in January. Updated contact April; client remains nameless.	
YMCA of the USA	No	2019-2020	Calls held in 2021 to renew; contract expired in 2020. Budget an issue; their dues from the local Y's is down due to COVID	No response to recent communications. Removed as partner until commitment received / agreement signed

SECTION 5

Travel Reimbursement & Required Forms

Travel Authorization forms are available on the Board of Directors' section of the NAESP website. You may also request electronic copies from Governance Services Director, Jennifer Shannon. As your travel plans dictate, please complete the necessary forms and return to NAESP for processing—travel forms for Board meetings will be sent to you in advance.

Board of Directors Travel Authorization form

When traveling on official NAESP business you will be protected by the Association's travel insurance policy if a completed Travel authorization form is on file. The form also informs staff of your specific itinerary. Please submit the forms by email or fax a minimum of two weeks prior to the meeting to ensure you receive your travel advance (if any) before you travel and to assist NAESP staff with planning.

Expense Form

The Travel and Expense Reimbursement form should be completed following each trip, and **submitted within two weeks after the NAESP-related travel**. Questions involving unusual or substantial expenditures should be reviewed in advance with the Deputy Executive Director.

Following are the guidelines for reimbursement:

1. AIR TRAVEL

Reimbursement is limited to coach air fare. Reservations should be made early; super saver or other excursion rates should be requested. All receipts must be attached.

2. AUTOMOBILE

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

3. TAXI, LIMOUSINE, BUSES, PARKING

Usual expenses for these services will be reimbursed when receipts are attached. Any unusual expense should be explained. Receipts not required for baggage handling tips.

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, the additional cost will not be reimbursed, except in unusual circumstances. Hotel receipt must accompany expense voucher. Tips for hotel staff are a reimbursable expense.

5. PER DIEM

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

6. INSURANCE

Insurance is provided by the Association in the amount of \$500,000 for accidental death and \$5,000 for medical expenses for persons traveling on official business at the invitation and expense of NAESP, when a completed Travel authorization form is on file at NAESP headquarters.

BOARD OF DIRECTORS TRAVEL FORM – Board Meetings

Authorization and Advance Request

BOARD MEMBER INFORMATION

Name: _____

Street Address: _____

City: _____

State: _____

Zip: _____

Trip Information

Destination(s): _____

Purpose(s) of Trip: _____

Estimated Cost to NAESP: \$ _____

Advance Requested: \$ _____

Hotel Reservations

Date of arrival at the hotel: _____

Date of departure from the hotel: _____

☐ Single occupancy ☐ Double occupancy **Preference:** ☐ King bed ☐ Two doubles

Should this room be guaranteed for late arrival? ☐ Yes ☐ No

TRANSPORTATION PLANS

Arrival at Destination

Date: _____

Time: _____

Airline: _____ Flight Number: _____

Departure from Destination

Date: _____

Time: _____

Airline: _____ Flight Number: _____

GUEST INFORMATION

Does your spouse/guest plan to accompany you and attend social functions? ☐ Yes ☐ No

If not attending some social functions, please provide details for planning purposes:

_____.

Provide inclusive dates of spouse/guest attendance: _____

Spouse/Guest Name: _____

NAESP Use Only

NAESP Account to be Charged:

NAESP Authorization/Date:

BOARD OF DIRECTORS TRAVEL FORM – Other Travel
Authorization and Advance Request

Traveler's name _____

Street Address _____

City _____ State _____ Zip _____

Date departing _____ Date returning _____

Destination(s) _____

Purpose(s) of trip _____

Estimated cost to NAESP _____ Advance requested _____

NAESP account to be charged _____
and/or

Reimbursement to be made by _____ Amount _____

If any personal travel will be taken in conjunction with the trip, state dates and particulars regarding such personal travel:

NAESP Use Only

NAESP Account to be Charged:

NAESP Authorization/Date:

Pay To:		Place, Date and Function of Activity
Address:		

Date	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	TOTAL EACH LINE	Details of Miscellaneous Expenses															
Meals (\$64.00 per Diem)																								
Lodging																								
Plane/Train																								
Auto - (refer to current IRS tax rate)																								
Taxi/Bus																								
Parking/Tolls																								
Business Telephone*																								
Business Meals or Group Functions*																								
Tips																								
Miscellaneous																								
TOTAL																								
*Explain Items Marked *						Less Advance			Accounts to be Charged <table border="1"> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> <tr><td>Total</td><td></td></tr> </table>														Total	
Total																								
Due Traveler																								
Due NAESP																								

I HEREBY CERTIFY THAT THESE EXPENSES ARE CORRECT AND WERE INCURRED IN THE PERFORMANCE OF MY DUTIES FOR, OR AT THE REQUEST OF THE NATIONAL ASSOCIATION OF ELEMENTARY SCHOOL PRINCIPALS	
Signature	Date

NAESP Approval:	
Signature	Date

SECTION 6

Governance Overview

Governance Overview

Governance Documents

Governance documents of the Association are:

Articles of Incorporation (kept on file at NAESP headquarters)

Bylaws (presented in the Manual and on the website)

Platform (presented on the website)

Policies (presented in the Manual and on the website)

Minutes of the General Assembly and Board of Directors meetings also contain specific direction for Association programs and activities.

The General Assembly

The General Assembly serves as a representative body of the membership of the association, and consists of the Board of Directors and the NAESP State Representatives as the voting members, and other non-voting attendees. The General Assembly has two purposes: (1) Serve as an open forum for the discussion of emerging issues important to the profession and the Association. (2) Business session which includes: (a) Annual report from the President on the state of the Association; (b) Introductions of the candidates for Vice President for a general membership election; (c) Consideration of other items, as deemed appropriate by the Board of Directors.

The Board of Directors

Serving as the Association's governing body between meetings of the General Assembly is the Board of Directors. The Board is composed of three officers (President, President-elect, Vice President), nine Directors (one from each of nine electoral zones, who each serve a three-year term), and two at-large members. Ex-officio members include the Foundation CEO, the Deputy Executive Director, and the Executive Director. The Vice President and three Zone Directors are elected annually by Association members. The two at-large members are of the Association Board—one representing minority principals and one representing middle-level principals. These members serve a three-year term and are appointed by the NAESP Board. The full Board has the responsibility for the fiscal and program management of the Association and adopts policies and procedures accordingly.

Governance Committees

To assist further in carrying out governance responsibilities, the NAESP Bylaws establish three committees and an Election Audit Board. The committees are Membership, Nominating, and Resolutions. The composition and basic function of these committees are specified in the Bylaws.

The Membership Committee encourages recruitment and retention of members; reviews membership categories and related member benefits and services; and performs other duties assigned by the NAESP Board of Directors. Refer to Policy 400.7.

The Resolutions Committee meets at least twice a year and corresponds via e-mail more often. The committee encourages members to initiate resolutions and reviews, prepares, and submits resolutions to the Board of Directors and then announced at the General Assembly. Refer to Policies 400.6.

The Nominating Committee meets once to fully review prospective candidate forms and supporting materials submitted by members who want to run for the office of Vice President in the spring election. Refer to Policies 400.4 and 400.5.

During 2021-2022, these committees are scheduled to meet on the following dates:

Resolutions Committee November 4 & December 9 (virtual meetings)

Nominating Committee November 9, 2021(virtual meeting)

Membership Committee TBD

Election Audit Board March 14, 2021

The Board of Directors also may establish special committees to carry out necessary tasks in achieving the purposes and goals of the Association.

APPENDICES

NAESP Bylaws
Board Policies

***The mission of NAESP
is to lead in the advocacy and support
for elementary and middle level principals
and other education leaders in their
commitment to all children.***

NAESP BYLAWS

Preamble

We, the members of the National Association of Elementary School Principals, believe that the focal point of the school is the education of the child and that the educational program must help all children achieve their potential as contributing members of society.

We believe that in providing the foundation for the formal education young Americans receive, our elementary and middle schools must strive for excellence. Further, we accept the finding—and the challenge that goes with it—that the primary responsibility for the development of an effective educational program in each school is vested in the principal.

We are dedicated to ensuring that every child in America receives a quality education. We care about our country by caring deeply about children.

We believe that no barrier should separate a child from the best education a school can offer; that no form of discrimination be used to deny a child the opportunity to acquire a solid foundation in reading, writing, mathematics, critical thinking, and the values of friendship, compassion, honesty, and self-esteem.

We are committed to instructional excellence. We support the aspirations of teachers everywhere to give each child a quality school experience. We accept the challenge of the research showing that quality education in every school depends on the expertise, dedication, and leadership of the principal.

Article I. Name, Purposes and Governance

Section 1. Name

The name of this organization shall be National Association of Elementary School Principals (hereafter referred to in the Bylaws as the “Association”).

Section 2. Purposes

The purposes of the Association are:

- a) To help its members meet their responsibility for the development and maintenance of effective educational programs in elementary and middle schools.
- b) To support and promote the mission of the Association;
- c) To propose and advocate for or against policies or legislation at the federal level that impact principals;
- d) To facilitate positive educational leadership;
- e) To serve as the voice for elementary and middle-level principals;
- f) To enhance the image of the elementary and middle-level principal as an educational leader and to promote greater recognition of the professional skill and performance demanded by the position;
- g) To serve as an agency for the collection and dissemination of information pertinent to the elementary and middle-level principalship;
- h) To provide services such as publications, conventions, conferences, research, state and federal relations, and other services authorized by the governing bodies of the Association;
- i) To promote the principle of equal rights as defined by federal statute; and
- j) To strengthen relationships among principals, schools, parents, and communities.

Section 3. Governance

The Association shall be governed by the Articles of Incorporation, the Bylaws, and such actions as the governing bodies of the Association may take consistent therewith. Nothing in the Bylaws shall be construed to prevent the Association from pursuing objectives that are consistent with its stated purposes.

Article II. Membership

Section 1. Categories and Qualifications

The Association shall have regular and special categories of membership as determined by the Board of Directors, with recommendations from the Membership Committee.

Section 2. Rights and Benefits

Regular members of the Association shall be entitled to all of the Association's member services and benefits, including the right to vote. 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. All special membership categories shall be entitled to the differentiated benefits of the Association, as determined by the Board of Directors, except the right to vote and to hold office.

Section 3. No Discrimination

The Association shall not deny membership in compliance with the federal statutes on non-discrimination.

Section 4. Property Interest of Members

All rights, titles, and interests, both legal and equitable, of a member in and on to the property of the Association shall end on the termination of membership.

Section 5. Membership Year

Membership shall be effective from the date of receipt of dues by the Association headquarters. July 1 shall be the date for the official membership count to determine any provisions contingent on the number of members.

Section 6. Membership Dues

Dues for all membership categories shall be determined by the Board of Directors.

Article III. General Assembly

Section 1. Composition

The General Assembly shall serve as a representative body of the membership of the association, and shall consist of the Board of Directors and the NAESP State Representatives as the voting members, and other non-voting attendees.

Section 2. Meetings

- a) The General Assembly shall meet at least once a year at a date and location determined by the Board of Directors.
- b) A quorum shall be at least two-thirds of the NAESP Board of Directors and at least 50 percent, in person or by proxy, of the NAESP State Representatives attending the General Assembly.
- c) There will be two purposes of the General Assembly:
 - 1. An open forum for the discussion of emerging issues important to the profession and the Association.
 - 2. A business session, which shall include:
 - a) Annual report from the President on the state of the Association;
 - b) Introductions of the candidates for Vice President for a general membership election;
 - c) Consideration of other items, as deemed appropriate by the Board of Directors.

Article IV. Board of Directors

Section 1. Composition

The Board of Directors shall consist of the President, President-elect, Vice President, a representative from each of the membership zones, and the Executive Director (non-voting). In addition, the Board may elect up to two (2) At-Large directors by a majority vote. The membership zones shall be as follows:

Membership Zone 1: Connecticut, Delaware, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont,

Membership Zone 2: New Jersey, New York, Pennsylvania,

Membership Zone 3: Department of State Schools, District of Columbia, Maryland, Ohio, Virginia, West Virginia,

Membership Zone 4: Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina, Tennessee, Puerto Rico, Virgin Islands,

Membership Zone 5: Illinois, Indiana, Kentucky,

Membership Zone 6: Iowa, Michigan, Wisconsin,

Membership Zone 7: Alaska, Colorado, Minnesota, Montana, Nebraska, North Dakota, South Dakota, Wyoming,

Membership Zone 8: Arkansas, Kansas, Louisiana, Missouri, New Mexico, Oklahoma, Texas,

Membership Zone 9: Arizona, California, Hawaii, Idaho, Nevada, Oregon, Utah, Washington, Guam, American Samoa.

The Board of Directors shall review the established membership zones and report to the General Assembly any revisions that may be necessary to ensure equitable representation. Such review of the membership zones shall be made according to policy. Reorganization of zones shall be by amendment of the Bylaws.

Section 2. Election of Zone Directors

During the year before the expiration of a zone director's term, the Association shall follow the procedures in this section to elect a new zone director. The same procedures shall be followed with a changed and compressed schedule to elect a zone director to fill the unexpired term of a vacant zone director's seat:

- a) No later than November 1 of each calendar year each interested candidate for the position of Zone Director shall electronically submit the designated NAESP Prospective Candidate Data Form to the NAESP Executive Director or designee.
- b) The Executive Director shall oversee the distribution of the prospective candidate information to the appropriate NAESP Zone Directors within thirty (30) days.
- c) Zone Directors shall electronically disseminate all applications received to the NAESP State Representatives in their zone and be responsible for chairing a process with the NAESP State Representatives for electing the next zone director.
- d) Should an NAESP State Representative be a prospective candidate, a substitute shall be designated by that NAESP-affiliated state association for the purpose of selecting the zone director.
- e) No later than the last day of voting for Vice President, each zone director shall submit to the President and the Executive Director the name of the newly elected zone director.

- f) If the zone director's seat is vacant, the President-elect or a zone director appointed by the President-elect shall perform the duties of the zone director as stated in subsections c) and e) of this section.

Section 3. Term of Office and Qualifications of Zone and At-Large Directors

Zone Directors shall each serve for a term of three years, commencing on August 1 following their election, with three (3) members retiring each year. The At-Large Director(s) are elected by the Board to serve a three-year term to represent the needs of the Association, as determined by the Board. No director may serve more than one term of office as Director, unless the Director is elected to serve an unexpired term, in which case the director may serve the remainder of the unexpired term and shall be eligible to be elected to another three-year term. During their terms of office, Directors must be regular members who are principals or assistant principals as defined in Article II, Section 2.

During the third year of the term, should specific, unforeseen circumstances occur which would impact the ability of that individual to complete the last year of a term of office as a practicing principal as defined in Article II, Section 2, that Board member may continue to serve in the final year of service, providing there is no conflict of interest as determined by NAESP's legal counsel between the ongoing business of the Association and the Board member's change of position.

Section 4. Filling Vacancies of Director Positions

In the event of a vacancy in the position of:

- a) At-Large Director: The Board of Directors shall elect a member in the same at-large category to serve the remainder of the unexpired term.
- b) Zone Director: The vacancy shall be filled in accordance with the policy stated in Article IV, Section 2, and the individual elected shall serve the remainder of the term.

Section 5. Powers and Duties

The Board of Directors shall:

- a) Establish Association goals and objectives;
- b) Act for the Association and make all policy decisions;
- c) Be responsible for approving the budget and provide fiscal oversight for the Association, including the general supervision of the reserve funds;

- d) Determine the date and location of meeting(s) of the General Assembly;
- e) Attend and serve as voting members of the General Assembly;
- f) Determine the Association dues of all membership categories;
- g) Approve membership benefits;
- h) Approve, for affiliation, a recognized state association which has the largest number of Association members and any related recognitions therein;
- i) Review all reports of Association officers and committees and provide appropriate reports to the General Assembly;
- j) Establish procedures for initiative, referendum, and recall;
- k) Censure, suspend, or expel, for cause, any member of the Association after due notice and hearing, by two-thirds vote of the Board of Directors;
- l) Vacate censure or reinstate a suspended or expelled member by a two-thirds vote of the Board;
- m) Establish committees;
- n) Develop guidelines for each committee to follow;
- o) Establish the fiscal year of the Association;
- p) Employ, supervise, and evaluate the Executive Director, and renew or terminate the contract;
- q) Continue in office in the event of national emergency and conduct the business of the Association until such time as operations can be carried on in the prescribed manner;
- r) Amend or appeal amendments to Bylaws and adopt revisions to the platform; and
- s) Have such other powers and perform such other duties as may be provided for in the Bylaws and by statute.

Section 6. Meetings

The Board of Directors shall meet at least three (3) times a year to conduct the business of the Association, one (1) meeting of which shall be held in conjunction with the annual meeting of the General Assembly. Directors may attend meetings in person or through the use of any means of communication by which all directors participating may simultaneously hear each other during the meeting. A majority of the members of the Board shall determine the date and

location of meetings. Due notice of all meetings shall be given to all members of the Board. A quorum of the Board of Directors shall be two-thirds of all its members.

Article V. Officers

Section 1. Officers

The officers of the Association shall be the President, the President-elect, and the Vice President.

Section 2. Steering Committee

- a) Composition: The Steering Committee shall be comprised of the President, the President-elect, and the Vice President. The Executive Director shall serve as an ex-officio, non-voting member.
- b) Powers and Duties: The Steering Committee shall possess such powers and duties as authorized by the Board of Directors.

Section 3. Election of Vice President

- a) No later than October 1 of each calendar year, interested candidates for the office of Vice President shall submit a Prospective Candidate Data Form to NAESP Headquarters.
- b) The Nominating Committee will serve as a selection committee to ensure there are at least two (2) candidates for Vice President.
- c) 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 member shall be entitled to cast only one form of the ballot. 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. The Executive Director shall submit the prospective candidate information to the Nominating Committee no later than December 1 of each calendar year.
- d) Voting shall open within five (5) business days following a general assembly and voting will close no later than ten (10) business days thereafter.

- e) NAESP'S legal counsel of record or its independent auditors will certify the election results.
- f) The election of the Vice President shall be determined by the candidate receiving the most votes of all valid ballots cast by the regular membership of the Association.
- g) In the event of a tie vote, a new election in accordance with the procedures and guidelines as outlined in Board policy shall be held immediately.

Section 4. Term of Office and Qualifications of Officers

- a) Term of Office: The term of office of the President, the President-elect, and the Vice President shall be limited to one (1) year, commencing on August 1, following the election.
- b) Qualifications: Any regular member who is a principal or assistant principal as defined in Article II, Section 2, may serve as an officer.
- c) No officer may serve more than one term as described in Subsection a), except as provided in Article V, Section 5 a).
- d) The Vice President shall become the President-elect and the President-elect shall become the President in the succeeding year.

Section 5. Filling Vacancies of Officer Positions

Vacancies occurring by reason of death, resignation, or other disqualification shall be filled as follows:

- a) A vacancy in the office of President shall be filled by the President-elect for the remainder of that term of office. He or she shall then be entitled to serve the one-year term as President following the expiration of his or her original term as President-elect.
- b) A vacancy in the office of President-elect shall be filled by the Vice President for the remainder of that term of office. He or she shall then be entitled to serve the one-year term as President-elect following the expiration of his or her original term as Vice President.
- c) In the case of a vacancy in the office of Vice President, the President shall, within ten (10) days after the vacancy occurs, instruct the Executive Director to initiate the election process, as prescribed in 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.

Section 6. Powers and Duties

- a) President: The President is the chief officer of the Association and shall:
 - 1) Serve as an ex-officio voting member and presiding officer of the Board of Directors;
 - 2) Serve as presiding officer of the annual meeting of the NAESP State Representatives;
 - 3) Serve as an ex-officio voting member to and presiding officer of the General Assembly;
 - 4) Represent and speak for the Association on matters of policy, or assign responsibility for such functions;
 - 5) Review Association policies and recommend priorities to be considered by the Board of Directors;
 - 6) Meet regularly with the other officers of the Association;
 - 7) Delegate duties to the President-elect, Vice President, and Executive Director;
 - 8) Propose the agenda for meetings of the governing bodies of the Association;
 - 9) Except as otherwise provided in the Bylaws, appoint all chairpersons and members of Association committees;
 - 10) Serve as an ex-officio non-voting member of all Association committees except the Nominating Committee; and
 - 11) Have such other powers and duties as are authorized by the Board of Directors.
- b) President-elect: The President-elect shall:
 - 1) Serve as an ex-officio voting member of the Board of Directors and as an ex-officio voting member at the General Assembly;
 - 2) Serve as chairperson of the Resolutions Committee;
 - 3) Act for the President when the President is unable to perform the duties of this office; and
 - 4) Perform other duties as directed by the President or the Board of Directors.
- c) Vice President: The Vice President shall:

- 1) Serve as an ex-officio voting member of the Board of Directors and as an ex-officio voting member at the General Assembly;
- 2) Serve as chairperson of the Membership Committee; and
- 3) Perform other duties as directed by the President or the Board of Directors.

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.

Article VII. Executive Director

Section 1. Term of Employment

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 (4) years. The Executive Director's contract may be renewed.

Section 2. Powers and Duties

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, non-voting member and secretary of the Board of Directors and General Assembly;
- b) Serve as secretary and treasurer of the Association;
- c) Prepare, with the advice of the Board of Directors, programs for the Association;
- d) Be responsible for the employment, supervision, evaluation, and dismissal of all Association employees in accordance with personnel procedures established by the Board of Directors;
- e) Prepare an annual budget for submission to the Board of Directors;
- f) Receive all funds and be responsible for their safekeeping, accounting, and audit;
- g) Prepare an annual report on Association activities, an annual financial report, and other such reports as prescribed by the Board of Directors;
- h) Be responsible for the preparation and distribution of records of meetings of the General Assembly and the Board of Directors; and
- i) Keep the official seal of the Association and perform other such duties as prescribed by the Board of Directors.

Article VIII. Committees

Section 1. Standing Committees

- a) Nominating Committee
 - 1) Composition: The Nominating Committee shall consist of a chairperson and eight other members, one from each zone, elected by the State Representative for a term of one year. Not more than four of the members of the committee shall be State Representatives. None shall be members of the Board of Directors. Names of the Nominating Committee shall be published at least 60 days prior to the meeting of the Committee.
 - 2) Powers and Duties: The Nominating Committee shall select at least two names as candidates for the position of Vice President to be filled on the Board of Directors. The Committee shall submit the names to the Executive Director, who shall prepare and send the ballots.
- b) Resolutions Committee

- 1) Composition: The Resolutions committee shall consist of the President-elect as chairperson, Vice President and one (1) member from each zone, who shall be appointed by the President for three-year terms. Alternates shall be appointed by the President as needed, serving the same term as each appointed member from that zone.
 - 2) Powers and Duties: The Resolutions Committee shall:
 - a) Encourage members to initiate resolutions;
 - b) Review resolutions for updating the platform, recommend changes if any, and submit them to the NAESP Board of Directors, who shall inform the General Assembly.
- c) Membership Committee
- 1) Composition: The Membership Committee shall consist of the Vice President as chairperson, President-elect, and one (1) member from each zone, who shall be appointed by the President for three-year terms. Alternates shall be appointed by the President as needed, serving the same term as each appointed member from that zone.
 - 2) Powers and Duties: The Membership Committee shall:
 - a) Encourage recruitment and retention of members;
 - b) Review categories of membership and related member benefits and services; and
 - c) Perform other duties as assigned by the NAESP Board of Directors.

Section 2. Special Committees

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

Article IX. Finance

Section 1. Financial Records and Accounts

Association financial records and accounts shall be the property of the Association and shall be open to inspection by any member upon written request to the Executive Director.

Section 2. Reserve Funds

The Reserve Funds shall consist of the real properties and long-term investments of the Association, together with any other funds or properties received by gift, bequest and devise, and accrued income from Reserve Funds investments. The Reserve Funds shall be in the charge of the Board of Directors, which shall provide for the investment and safekeeping of such funds. The Board of Directors shall report the conditions of the funds to the General Assembly.

Section 3. Grants

The Association may receive grants and may deposit and expend these funds according to terms of the grantor and accepted by the Board of Directors.

Section 4. Distribution of Assets

No part of the net income, revenue, and grants of the Association shall inure to the benefit of any member, officer, or any individual except that reasonable compensation may be paid for services rendered. No member, officer, or individual shall be entitled to share in the distribution of any part of the assets of the Association on its dissolution or liquidation. In the event of such dissolution or liquidation, the assets of the Association, after payment of debts and obligations, shall be transferred to one or more organizations either with federal tax exemption for charitable and educational uses, or with objectives similar to those of the Association. The receiving organization(s) shall be designated by the Board of Directors at its final meeting.

Article X. Parliamentary Authority

Robert's Rules of Order, Newly Revised shall be the authority governing all matters of procedure not otherwise provided for in the Articles of Incorporation and the Bylaws or by the actions of the governing bodies of the Association.

Article XI. Amendment of Articles of Incorporation and Bylaws

Section 1. Bylaws

The Bylaws shall be amended according to the following procedures:

- a) A proposal to amend or repeal the Bylaws may be proposed by:
 - 1) The Board of Directors by at least a two-thirds vote during a meeting at which a quorum of the Board is present.

- 2) A petition containing at least 200 signatures of regular members representing at least four (4) different states. The required minimum number of signatures must be divided equally among the states represented.
- 3) The proposed amendment or repeal of the Bylaws must be submitted in writing to the President, who shall refer it to the Board of Directors for action.
- b) The Board of Directors may amend or repeal the Bylaws by a two-thirds vote at a meeting at which a quorum of the Board is present, except as stated in subsections c) and d) of this section. The President shall notify the membership when the Bylaws have been amended.
- c) Without a vote of the General Assembly, the Board of Directors may not amend the Bylaws to increase the quorum or voting requirements of the Board of Directors or of the NAESP State Representatives of the General Assembly.
- d) Without a vote of the members, the Board of Directors and the General Assembly may not amend the Bylaws to require cause to remove a director or specifying what constitutes cause to remove a director.

Section 2. Articles of Incorporation

The Articles of Incorporation shall be amended according to the following procedures:

- a) An amendment to the Articles of Incorporation may be proposed by:
 - 1) The Board of Directors by at least a two-thirds vote during any meeting at which a quorum of the Board is present.
 - 2) A petition containing at least 200 signatures of regular members representing at least four different states. The required minimum number of signatures must be divided equally among the states represented.
- b) A proposed amendment to the Articles of Incorporation must be submitted in writing to the President, who shall refer it to the Board of Directors for action. A two-thirds vote of the Board of Directors at which a quorum of the Board is present shall be required to adopt a proposed amendment.
- c) If the Board of Directors adopts the proposed amendment, then it shall be submitted to the General Assembly for a vote. Copies of the proposed amendment shall be distributed to the voting members of the General Assembly at least thirty (30) days before it meets to consider the proposed amendment. The President shall notify the

membership when the articles of incorporation have been amended.

- d) An amendment to the Articles of Incorporation shall become effective upon filing the amendment with the Office of the Mayor of the District of Columbia.

**The official NAESP Bylaws document is on file at NAESP headquarters.

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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.)

<u>Authority Level</u>	<u>Action</u>
President or Steering Committee	<p>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.</p> <p>May ask for unanimous written consent from the Board in lieu of a meeting.</p>
Board of Directors	<p>May meet by telephone conference call or other means by which all Directors participating may simultaneously hear each other during the meeting.</p> <p>May act by signed written consent, if all Directors sign the consent.</p>
Executive Director	<p>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.</p>

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.

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

Action

As specified.

As stated above.

Reference

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 LevelAction

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 any prior experience on the Nominating 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) will use a random number generator to determine the order of the nomination to the Committee.
3. 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.
4. 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.
5. Zones may caucus before, during, or after their original nominations.
6. 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.
7. 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.)

8. 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 President-elect as Chair, Vice President, 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 Vice President as chair, President-elect, 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

Action

Board of Directors

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 500.6 INVESTMENT AND SPENDING GUIDELINES-APPROVED OCTOBER 21, 2013.

Executive Summary

Name of institution National Association of Elementary School Principals (NAESP)

Name of accounts Operating Reserve; Capital Reserve; Long-Term Reserve

Portfolio target Operating Reserve: Target a half month of budgeted expenses
 Capital Reserve: Target \$350K
 Long-Term Reserve: Corpus \$1.250M
 Targets are in effect with the termination of the line of credit

Portfolio time horizon Perpetuity

Primary investment profile Operating Reserve: Very Conservative
 Capital Reserve: Moderate Conservative
 Long-Term Reserve: Moderate

Target asset allocation Operating Reserve: 90% Fixed Income; 10% Cash
 Capital Reserve: 35% Equities; 63% Fixed Income; 2% Cash
 Long-Term Reserve: 52% Equities; 46% Fixed Income; 2% Cash

Expected investment returns Operating Reserve: return equal to T-Bill (90 Day)
 Capital Reserve: net return in excess of market index by 1.00%
 Long-Term Reserve: net return in excess of market index by 1.00%

Evaluation benchmark	Reserve Acct	Op Reserve	Cap Reserve	LT Reserve
Russell 3000			23%	34%
FTSE AW Ex U.S.			12%	18%
BarCap Aggregate			44%	32%
BarCap Gov 1-5 Yr	90.0%		19%	14%
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	2
Section 2 - Assignment of Responsibility	4
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Section 5 - Investment Guidelines	98
Section 6 - Rebalancing Strategies	109
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Section 8 - Definitions of Benchmarks	124

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.
- Every three years the portfolio's goals and risk level will be reviewed. The NAESP Board will complete a survey after the board's annual meeting to determine these factors and the Investment Consultant will provide a recommendation on whether a change in the Investment Policy Statement is warranted. The Board will then make a final decision about any changes to the policy.

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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, manger 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 Operating Reserve funds shall target a half month of operating expenses after any line of credit in effect has been terminated. The Operating Reserve will have a ceiling of one month of operating expenses and a floor of \$50K. If funds in the Operating Reserve move above the ceiling all funds above the target will be moved into the Capital Reserve or Long-Term Reserve. If the reserve falls below the floor it will be funded back to the target by the Capital Reserve.
- The Capital Reserve fund's goal is to meet planned or unplanned investments or expenses not accounted for in the budget. It will target \$350K. 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 Long-Term Reserve 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%

Long-Term Reserve: 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.
- the securities of any one industry should not exceed 20% of the total reserve. 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).

The fixed income asset class within the Operating Reserve will target a weighted average maturity of no greater than 1.5 years and a weighted average credit rating of no lower than AA. The Capital and Long-Term Reserve Reserves will target a weighted average maturity of no greater than eight years and a weighted average credit rating of no lower than AA.

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	5.0%	10.0%	15.0%	T-Bill (90 Day)
US Fixed Income	85.0%	90.0%	95.0%	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>
U.S. Equity	17.5%	22.0%	26.5%	Russell 3000
REITs	.0%	1.0%	2.0%	
Non-US Equities	9.5%	12.0%	14.5%	FTSE AW Ex US
Fixed Income	50.5%	63.0%	75.5%	BarCap Aggregate
Cash Equivalents	1.0%	2.0%	3.0%	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>
U.S. Equity	25.5%	32.0%	38.5%	Russell 3000
REITs	1.0%	2.0%	3.0%	
Non-US Equities	15.0%	18.0%	21.5%	FTSE AW Ex US
US Fixed Income	37.0%	46.0%	55.0%	LB Aggregate
Cash Equivalents	1.0%	2.0%	3.0%	T-Bill (90 Day)

The U.S. and Non-U.S. equity assets classes will reflect a diversified allocation of market capitalization (Large, Mid, Small) and style (Value, Blend, Growth.) The allocation to international equity will also include exposure to both developed and emerging markets.

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 +/-20% 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 review the portfolios at a minimum of quarterly to evaluate deviation from their ranges.

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

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

The Long-Term Reserve 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 3000

A domestic equity benchmark that measures the performance of the 3000 largest U.S. companies. The index is designed to be a proxy for the US stock market as a whole.

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.

FTSE AW Ex US

A market capitalization weighted equity index composed of companies' representative of developed and emerging markets excluding the U.S.

BarCap Aggregate

A fixed income benchmark composed of securities from the Barclays Capital 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 **October 21, 2013**.

The investment consultant will provide NAESP with a detailed report of the portfolio at least quarterly. The quarterly report will outline the following:

- Returns for the specified quarter, year to date, and inception
- The current portfolio allocation compared to the target asset allocation
- The portfolio's performance relative to a portfolio benchmark based on the target asset allocation
- Asset class performance relative to applicable benchmarks.
- The portfolio's average credit quality and maturity compared to the allowable levels set forth in this policy

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

Executive Director and Second in Command Executive Staff member

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

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

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*, *Principal Insights*, 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 Principal– Assistant Principal - Institutional Active - Associate – Emeritus —
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 7, 2018					
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 inquires 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.

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.