



# **ELECTION GUIDELINES**

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<b>TABLE OF CONTENTS</b>		<b>Page</b>
1.	<b>Election Committee</b>	<b>3</b>
<b><u>PART ONE: ELECTION GUIDELINES FOR PRESIDENT-ELECT</u></b>		
2.	<b>Becoming a Candidate for AASA President-Elect</b>	<b>4</b>
3.	<b>Information about President-Elect Candidates</b>	<b>6</b>
4.	<b>President-Elect Nomination Process</b>	<b>7</b>
5.	<b>Election related Activities between the Summer Governing Board Meeting and the following National Conference on Education</b>	<b>10</b>
6.	<b>Campaigning at the Nat'l Conference on Education (NCE)</b>	<b>11</b>
7.	<b>Campaign Process – AASA Communications after NCE</b>	<b>13</b>
8.	<b>Election Process</b>	<b>14</b>
9.	<b>Campaign Rules and Prohibitions</b>	<b>16</b>
10.	<b>Complaints and Enforcement</b>	<b>19</b>
<b><u>PART TWO: ELECTION GUIDELINES FOR EXECUTIVE COMMITTEE</u></b>		
1.	<b>Nominating Process for State/Chartered Affiliates Eligible for an Automatic Seat</b>	<b>21</b>
2.	<b>Nominating Process for other State/Chartered Affiliates</b>	<b>21</b>
3.	<b>Campaigning</b>	<b>21</b>
4.	<b>Ballots</b>	<b>22</b>
<b><u>PART THREE: ELECTION GUIDELINES FOR GOVERNING BOARD</u></b>		
1.	<b>Membership</b>	<b>23</b>
2.	<b>Charter Affiliate Responsibility</b>	<b>23</b>
3.	<b>Timeline for Notifying AASA of New Governing Board Members</b>	<b>23</b>
<b><u>APPENDICES</u></b>		
	<b>Appendix A. Format for Candidate Information</b>	<b>24</b>
	<b>Appendix B. Candidate Pledge</b>	<b>26</b>
	<b>Appendix C. Sample Letter</b>	<b>27</b>
	<b>Appendix D. Communication Plan</b>	<b>28</b>
	<b>Appendix E. Can Do/Cannot Do Lists</b>	<b>29</b>
	<b>Appendix F. AASA Election Complaint Form</b>	<b>32</b>

All the following rules, procedures and processes apply to all candidates from the time they declare their candidacy until the election is over.

**1. ELECTION COMMITTEE**

**A. STRUCTURE**

The Election Committee is composed of three state executive directors (appointed by the president of the Association of State Executives) and three AASA active members (appointed by the president of AASA) and will be chaired by the immediate past president of AASA. The committee is staffed by the election coordinator, an AASA staff member assigned to the role. Currently, this work is provided through the Advocacy & Governance department.

**B. FUNCTIONS**

The Election Committee has the responsibility to oversee all aspects of the AASA election process. The committee serves as a resource to staff in this regard and as an advisory committee to the Executive Committee.

Included in the specific duties of the committee are the responsibilities to monitor the entire election process from the development of the candidate-filing packets to the declaration of the election winners. The committee shall enforce the rules set forth by the Executive Committee and described herein. The committee shall recommend to the Executive Committee all rule changes it deems necessary and appropriate. The committee shall address all election complaints and file written reports to the Executive Committee on all activities.

## **PART ONE: ELECTION GUIDELINES FOR AASA PRESIDENT-ELECT**

### **2. BECOMING A CANDIDATE FOR AASA PRESIDENT-ELECT**

Note: Candidates may not identify themselves as a candidate until steps A and B have been completed as outlined below.

#### **A. STATE NOTIFICATION**

Prospective candidates for the AASA office of president-elect shall first give written notification to the state superintendents association in their state of their intention.

#### **B. AASA NOTIFICATION**

Prospective candidates for AASA president-elect shall then give written notification to AASA of their intention.

#### **C. AASA RELATED ACTIVITIES**

An AASA active member serving in an official AASA related position may continue to perform the duties and responsibilities associated with that position, even after declaring their candidacy for AASA president-elect.

#### **D. ANNOUNCEMENT OF VACANCIES**

In October, AASA media will include a call for candidates for the position of president-elect.

#### **E. DISSEMINATION OF RULES**

In October, AASA will post the current election guidelines on its website, which includes a description of the entire election process.

After posting the elections guidelines, the AASA election coordinator can, at the request of the elections committee, executive committee or executive director, hold a webinar/conference call to review protocol and rules related to the election process.

#### **F. CANDIDATE FILING PACKET**

AASA will prepare a candidate filing packet, which solicits information from the candidates and informs them about rules and procedures for election to the position of AASA president-elect. AASA will confirm the candidate(s) with each respective state association executive director.

#### **G. AVAILABILITY OF PACKETS**

Packets will be available to candidates in October, when the election guidelines are posted on the website.

#### **H. FILING DEADLINE**

The completed candidate filing packet, including the filing fee, must be received by AASA by 5 p.m. EST on the first Friday in December to be considered for nomination by the AASA Governing Board during its meeting at its winter meeting. All candidates will be forwarded to the Election Committee for consideration for certification.

## **I. FILING FEE**

Each candidate must include a \$500 filing fee along with the completed candidate filing packet by the filing deadline, as detailed in sections F and H. A candidate's home state organization may pay the filing fee. Purchase orders are not acceptable.

## **J. CANDIDATE PLEDGE & ASSOCIATION NOTIFICATION**

Each candidate must sign a pledge (*Appendix B - page 25*) committing to obey the AASA election rules in spirit and in word as part of the candidate filing packet.

AASA has developed a sample letter (*Appendix C - page 26*) for candidates to use to notify all education organizations in which they play a prominent role to avoid promoting their candidacy and to notify them about specific sanctions for certain violations such as verbal discussions, letters of reprimand, vote deductions up to 10% and disqualification.

## **K. WRITE-IN CANDIDATES**

Only candidates certified by the Election Committee and nominated by the AASA Governing Board will be eligible to be elected. There will be no write-in candidates.

### **3. INFORMATION ABOUT PRESIDENT-ELECT CANDIDATES**

#### **A. FORMAT**

All candidate information will be provided by the individual candidate to AASA in the standard format outlined in the Candidate Filing Packet and provided by AASA.

*(Appendix A - page 23)*

#### **B. EDITING**

Candidate information will be reproduced as unedited copy as received from the individual candidates. However, AASA will standardize the submissions in terms of typeface and point size for consistency of presentation, including formatting biographical information in accordance with AASA style guidelines. Information received from the candidate will conform to length requirements as specified.

#### **C. DISSEMINATION**

Candidate information is disseminated to the Governing Board and Executive Committee members prior to the Governing Board meeting when nominations are finalized. Candidate information will be disseminated by AASA to members after candidates have been nominated by the Governing Board.

#### **D. "CANDIDATE INFORMATION" CONTENT**

AASA media, in addition to featuring biographical and professional information about the candidate, may include candidate responses to predetermined questions about current educational or professional issues of interest to AASA members. Candidate information may include remarks made by the candidates and remarks made by supporters of the candidates during the Governing Board meeting at which time the candidates were nominated for the position of president-elect.

#### **4. PRESIDENT-ELECT NOMINATION PROCESS**

##### **A. FILING PROCESS**

Candidates for the office of AASA president-elect must submit all the materials required in the Candidate Filing Packet to the AASA election coordinator on or before 5 p.m. EST on the first Friday in December. A copy of the statement of intent shall also be submitted to the executive director of the AASA chartered affiliate of which the candidate is a member prior to submitting the Candidate Filing Packet to AASA.

In addition, the candidate shall submit a \$500 filing fee as part of the filing packet (*See section 2(I) and (F)*). The filing fee may be paid in full or part by the candidate or the AASA chartered affiliate of which the candidate is a member.

##### **B. CREDENTIALING PROCESS**

Candidates seeking to be nominated for the office of AASA president-elect must submit materials and participate in activities as described below. Only information about those candidates nominated by the AASA Governing Board will be distributed to eligible AASA voting members. AASA's website will serve as the official election communication vehicle.

All AASA president-elect candidates must submit the following items as part of the filing documentation. Responses are to be provided as a Word document via e-mail to [nellerson@aasa.org](mailto:nellerson@aasa.org)

##### **Filing Documentation**

1. Mini-resume describing qualifications and demographic information (submitted as part of the filing documentation)
  - a. Name
  - b. Number of years as an AASA member; number of years as a chartered affiliate member; and the term(s) of service on the AASA Executive Committee and/or the AASA Governing Board
  - c. Current position, including title, school district or other organization, city, and state with starting date
  - d. Most recent previous position, including title, school district or other organization, city, and state with starting and ending dates
  - e. Post-secondary education (Bachelor's, Master's, Advanced Certificate, Doctorate). Please include names of institutions, city, and state, and the year(s) in which the degree(s) was received. Please provide this in reverse order with the most recent degree listed first.
  - f. AASA activities and other activities. Please provide this in reverse order with the most recent activities listed first. (**Limit to 10 items total. May include volunteer leadership, affiliations, conference presentations**)
2. Respond to the following two questions (submitted as part of the filing documentation):
  - a. Why are you seeking election as AASA's president-elect? (**100 words or fewer**)
  - b. If nominated and elected, what will be your #1 priority? (**50 words or fewer**)

It is advisable not to repeat the questions in your answers, to facilitate staying within the word limits as noted.

3. Each candidate will write and submit a 600 – 650-word essay on a topic of their own choosing as if it were to be used as a monthly "AASA President's Column" found in *The School Administrator*.

4. Candidates are to submit a digital color photograph to be included with materials distributed to AASA Governing Board members. Candidates should select photographs carefully, looking for clarity, sharpness and technical quality. Nominated AASA president-elect candidates will have their pictures printed on the biographical materials included with the ballots and on the AASA website.

### **Certification**

The Election Committee will certify the eligibility of all candidates in advance of the January AASA Executive Committee meeting. The Election Committee will convene to certify the candidates and determine the question which certified candidates will address during their remarks to the Governing Board.

### **Conference Call with Candidates and their State Association Executive Directors**

After the candidates are certified by the election committee, and prior to the winter Governing Board meeting, the Election Committee Chairperson and the election coordinator shall have a conference call with the candidates and their state association executives. This call will be made prior to the winter Governing Board meeting. The purpose of this call is to answer questions about the election process and review the details of the activities which take place during the winter Governing Board meeting and the National Conference on Education. Additional conference calls may be scheduled as needed, or requested, to answer questions and review the election process.

### **Presentation at the Governing Board Meeting**

The purpose of the essay and presentation at the Governing Board meeting is to determine if a candidate can represent AASA credibly in written communications, prepared spoken remarks and in situations that require extemporaneous responses.

1. This activity may be suspended, if there is only one candidate seeking nomination as a candidate for AASA president-elect.

All candidates will deliver prepared remarks, no longer than 3 minutes. The prepared remarks will be delivered during the winter meeting of the AASA Governing Board.

For members of the Governing Board to know a little more about each candidate, it was suggested that “tell us who you are and why you should be elected” should be one of the two questions answered by candidates during the Governing Board meeting. Each candidate will have no more than two minutes to answer the question.

2. After the candidates have presented their remarks (as outlined above), each will be asked to answer one question that they could reasonably expect to be asked as an AASA president. This question will be the one each candidate draws while on stage from the questions prepared in advance and unknown to the candidates. Each candidate will have no more than two minutes to answer the question.
3. Remarks made by the candidates will be recorded (video) and posted to the AASA website as soon as possible following the Governing Board meeting.

## C. **NOMINATING PROCESS**

### **Testimonials**

Following the presentation of the prepared remarks and responses to the one follow-up question, all candidates, even if a candidate is a current voting or ex-officio member of the Governing Board, will be asked to leave the meeting room during the nomination deliberations. The chair will allow for a five-minute discussion regarding the qualifications of each candidate, one candidate at a time.

Remarks made in support of a candidate will be recorded (video) and posted to the AASA website as soon as possible following the Governing Board meeting.

### **Voting**

1. Voting to finalize the nominations will be at a designated time on the Governing Board agenda.
2. If only one candidate files for the position of AASA president-elect by 5 p.m. EST on the first Friday in December, then that candidate shall be the only candidate for the position of AASA president-elect.
3. If no candidate files for the position of AASA president-elect by 5 p.m. EST on the first Friday in December, it will be the responsibility of the AASA Governing Board to nominate two candidates for this position. Should this occur, the Election Committee will develop the appropriate procedures and processes.
4. If there are three or fewer candidates seeking nomination for the position of AASA president-elect, the default process will be to accept all eligible candidates.
5. If there are more than three candidates for the position of AASA president-elect, then a series of balloting shall take place. Each Governing Board member will vote for their three choices of candidates to be nominated. With each ballot the individual receiving the fewest number of votes will be eliminated. For example, if there are 5 candidates, each Governing Board member will vote for their three choices of candidates to be nominated. The individual receiving the fewest number of votes will be eliminated. Subsequently, there will be 4 candidates remaining. Then, each Governing Board member will again vote for their three choices among the remaining 4 candidates. The individual receiving the fewest number of votes will be eliminated. There will then be 3 candidates remaining. If, at any time more than one candidate receives the fewest number of votes, an additional vote shall be taken to determine the candidate to be removed from subsequent ballots. Balloting will continue until the maximum number of candidates (3) has been nominated by the Governing Board.
6. The Governing Board may, by a 2/3 vote, decide to reduce the number of nominated candidates but may not vote to increase the number of nominated candidates.
7. Candidate eligibility to vote: If any of the candidates for president-elect are currently serving on the Governing Board, they may cast their vote and stay in the room during the voting process through which the final candidates for president-elect are selected. They may not be present for the testimonials or any other portion of the discussion prior to the voting.

## D. **VIRTUAL/ONLINE NATIONAL CONFERENCE ON EDUCATION**

*In the event the National Conference on Education (NCE) is held virtually, the following will apply:*

**GOVERNING BOARD CERTIFICATION:** The Governing Board meeting will be recorded in order to provide membership with candidate speeches, response to questions, and testimonials. The chair of the election

committee will number the possible questions for the 'drawn question' portion of the certification process. Candidates will pick a number and the corresponding question will be the one for their response.

**GENERAL SESSION SPEECH:** Candidates will be afforded a five (5) minute virtual speech to introduce themselves to the membership.

**CAMPAIGNING:** May begin the day after the Governing Board certification and ends on the last day of the voting period or as set by the Executive Committee, and is bound to all campaign conduct standards and prohibitions as outlined in this document.

**CANDIDATE FORUM:** At least one, but not more than two, virtual candidate forums will be held during the course of the virtual conference (NCE).

## **5. ELECTION RELATED ACTIVITIES FOLLOWING THE WINTER GOVERNING BOARD MEETING**

1. Following the Governing Board meeting, appropriate technology will be used to promote and inform the membership about the candidates. This can include the following:
  - a. Short videos sent periodically with AASA newsletters
  - b. Short videos sent to state associations to use at conferences – must show both or none (maximum of 3 minutes for each candidate)
  - c. Moderated Q & A sessions with candidates – online
  - d. Short, topic centered videos or webinars
  - e. Candidates may use social media to share their message with AASA members, but can only campaign via social media during NCE (*see Appendix E(3)*).
  
2. At the National Conference on Education:
  - a. Video tape the speeches at the General Session
  - b. If possible, open voting the day of the speeches at the National Conference on Education, or as soon thereafter as possible. Voting can be via any mobile device or computer
  - c. May provide a meeting place at AASA Social Media lounge for the candidates to meet with members.
  
3. Voting will end three weeks after opening.

## **6. CAMPAIGNING AT THE NATIONAL CONFERENCE ON EDUCATION**

### **A. CAMPAIGNING, INCLUDING REMARKS AT THE NATIONAL CONFERENCE ON EDUCATION**

Face-to-face campaigning will be done only at the National Conference on Education. *(See Appendix E(3)).*

Each credentialed candidate nominated by the Governing Board will be provided with the opportunity to present remarks on a topic of their choice at a General Session of the National Conference on Education. These remarks are limited to a total time of no more than five minutes by each candidate.

### **B. CANDIDATE IDENTIFICATION**

Each candidate nominated by the Governing Board will be given an identification ribbon to be worn with the AASA conference nametag. The ribbon will identify the member as a candidate for AASA president-elect. This ribbon may be worn at the Governing Board reception, should this event take place prior to the Governing Board meeting, as well as during the Governing Board presentation. This ribbon may be worn by those candidates nominated by the Governing Board, at all times during the National Conference on Education but not before or after.

### **C. CONFERENCE NEWSPAPER**

The AASA newspaper (print or electronic version) covering the National Conference on Education may cover certain aspects of the election. This may include coverage of the candidates, biographical and/or professional information, and/or their views and opinions on a variety of topics. This is considered news coverage and not campaigning.

### **D. OTHER CAMPAIGN VENUES**

All campaigning at AASA meetings other than the National Conference on Education is strictly forbidden.

### **E. INFORMAL GATHERING**

There will be no candidates' reception at the National Conference on Education. However, all candidates will be invited to attend the Governing Board reception at the National Conference on Education, along with their state association executive directors.

### **F. CANDIDATE APPEARANCES**

**CANDIDATE INTRODUCTIONS:** The candidates for president-elect will be introduced at the Opening General Session and asked to stand from designated seats on the floor. No remarks will be made by the candidates now. Time will be allocated at this or another General Session for the candidates to present remarks on a topic of their choice for up to a total of five minutes.

**CANDIDATES FORUM:** Candidates will have the opportunity to participate in a break-out session at the National Conference on Education during which time they may make a two-minute opening statement and a one-minute closing statement. The candidates will also be able to respond to questions from the audience. The AASA immediate past president will serve as the moderator for this panel. If this individual is unable to attend, the current President will designate a moderator.

**BREAKFASTS AND RECEPTIONS:** Candidates will also receive a list of appropriate receptions and breakfasts being held during the AASA National Conference on Education. Candidates may choose to attend any breakfast or reception. Candidates shall not interrupt a program or presentation in progress.

**AASA CENTRAL:** Candidates will have access to the AASA Social Media Lounge to meet and greet potential voters. This will be available following a candidate's nomination by the Governing Board.

7. **OTHER SESSIONS: At the AASA National Conference on Education, a candidate for AASA president-elect may not preside over a session or be a program presenter, moderator or facilitator. A candidate may, however, continue his or her official AASA related responsibilities as specified in 2. C. AASA Related Activities (page 4) and as confirmed by the AASA Executive Officers. Participation in the "Singing Superintendents" is permissible.**

## **CAMPAIGN PROCESS – AASA COMMUNICATIONS AFTER THE NATIONAL CONFERENCE ON EDUCATION**

To promote their candidacy prior to the election and following the AASA National Conference on Education, information on all the president-elect candidates will be available on the AASA website.

Those candidates nominated for the office of AASA president-elect will be permitted to communicate through AASA with eligible AASA voters via e-mail twice during the election period, defined as the time between the National Conference on Education and the day that ballots are counted. AASA will send the first e-mail approximately one week following the end of the National Conference on Education and the second, one week later.

Each candidate will be responsible for the content of their message and it will be limited to a maximum of 300 words. In addition to hearing from the candidates, voters will be encouraged to visit the AASA website for additional election information.

If logistically possible, following the National Conference on Education AASA may conduct at least one moderated question/answer webinar with the candidates. Members may ask questions of both candidates. This session will be recorded and available to AASA members.

- a. Moderated Q & A session(s) with candidates – online
- b. Short, topic centered videos or webinars

## **8. ELECTION PROCESS**

### **A. KEY ROLES, RESPONSIBILITIES AND PROCESS OVERSIGHT**

The AASA Executive Director provides oversight for the election process and designates an AASA staff member to serve as the election coordinator. Effective with the 2015 President-Elect election, the election will be conducted via electronic voting.

### **B. BALLOT INFORMATION**

1. When more than one candidate is running for AASA office, the order of the names on the ballot will be changed periodically so that each candidate will have his/her name in the first position an equal number of times.
2. If printed ballots are used, the ballot will be printed so that it will fit flat inside an envelope with "Election Material" printed on the outside. The names of all candidates will be printed on the same side of the ballot. **(See 1. above)**
3. Since biographical material may be sent with all paper or electronic ballots, only the candidate's name and state will appear on the ballot.

### **C. DISTRIBUTION OF BALLOTS**

Ballots will be distributed electronically to AASA members during the National Conference on Education and voting will conclude 3 weeks after the distribution of ballots.

Included with the ballot will be summary information about the candidates (biographical information submitted by each candidate in accordance with these guidelines). AASA members will be notified when the ballots have been distributed. This notification may be in the form of a notice on the AASA website or via e-mail.

### **D. RETURNING BALLOTS**

If ballots have been mailed, they must be returned to the designated return mailing address on or before the deadline date for receipt printed on the ballot to be valid and counted. Ballots may be cast electronically via the internet.

Electronic ballots must be submitted on or before the stated deadline for voting, which is 3 weeks after ballots were distributed.

### **E. COUNTING BALLOTS**

A third-party firm election specialist company will conduct the entire election process including the counting of the ballots and will certify the election results. The third-party firm will provide the assurances needed relative to the security and integrity of the system being used to count the ballots.

The election coordinator serves as the contact for the representatives of the third-party firm conducting the counting process, raising any issues or concerns that might impact the process and its validity. The election coordinator makes all final decisions regarding the election process. At all times, the ballots shall remain under the control of the third-party firm.

**F. CERTIFYING THE ELECTION RESULTS**

Ballots should be counted no later than March 31 each year. The results are certified by representatives of the third-party firm conducting the election on behalf of AASA. As soon as possible after the ballots have been counted, the chair of the Election Committee will certify the election results. If the chair of the Election Committee is not present at the ballot counting, the election coordinator contacts the chair of the Election Committee to certify the election results. The election coordinator then contacts the AASA Executive Director who calls each candidate to communicate the results. The AASA Executive Director may authorize the election coordinator or other individual to report the results to the candidates if he/she is unable to do so. The Executive Committee receives the certified results at their spring meeting.

**G. TIES**

Any ties will be settled by a coin toss. The candidates are to be notified that the coin toss will take place the next day. The AASA Executive Director will supervise a coin toss to determine the winner. Candidates or their representatives may be present if they can travel to AASA in time for the coin toss. All travel costs are to be at the expense of the candidate or their designee.

**H. REPORTING OF ELECTION RESULTS**

Once the results have been certified, and the AASA executive director has notified the candidates of the results, the election coordinator will report the results to the Executive Committee and the Governing Board. Once this has been completed, the results, specifically the names of the president-elect and incoming Executive Committee members, will be listed on the AASA website.

When available, the AASA executive director shall report official national election results, by candidate and by state. Election results by state will be reported in the aggregate with the total state votes cast compared to the total membership qualified to vote and by number of votes cast for each candidate within the state. Election reports will be sent to: all candidates, members of the Election Committee, members of the Executive Committee, and chartered affiliate executive directors. The results will also be published on the AASA website. Note that there may be a time lag of several weeks between the announcement of the results and the time when this report is ready for distribution.

**I. ELECTION COMPLAINTS**

All problems, complaints and discrepancies are to be reported and forwarded to the Election Committee.

## **9. CAMPAIGN RULES AND PROHIBITIONS**

### **A. DISTRIBUTIONS/MAILINGS**

Mass campaign mailings, distributions, and/or communications made to eligible voters for candidates including electronic media such as, e-mails, faxes, telephone or other electronic communications shall be permitted so long as the mailings are not initiated by a candidate running for office and are conducted by someone who knows the candidate personally (adhering to the “reasonable person standard” – what a reasonable person would do under the same or similar circumstances).

Any member, including: state association executive directors, past presidents of AASA, current Executive Committee members (except for the three AASA officers) and current Governing Board members, may discuss a candidate on a personal, one-to-one individual basis with another member. A member may, on an individual basis, answer a personal question about a candidate, including “Who are you going to vote for?” without being in violation of the AASA Election Guidelines.

However, when speaking before a public group(s), endorsement of a candidate by a state association executive director, past president of AASA, current Executive Committee member or current Governing Board member is prohibited. **(See B. – Endorsements below.)**

Individual active members, including state association executive directors, past presidents of AASA, current Executive Committee members (except for the three AASA officers) and current Governing Board members, may communicate with other AASA active members (on an individual, one-to-one basis), about a single candidate and support of that candidate by letter, fax or electronic transmission. Any cost of the mailings, faxes or electronic transmissions must be the responsibility of the individual and cannot be that of the candidate or other third party. No enclosure, attachment or brochure may be distributed with the letter, fax or electronic transmission. **(See 9D for further clarification for Executive Committee members.)**

AASA employees and current association officers cannot participate in the election process.

### **B. ENDORSEMENTS**

There shall be no public endorsement(s) made of an AASA candidate by a state association or state association executive director, past president of AASA, current Executive Committee member, current Governing Board member, caucus, committee, group or corporation.

### **C. ATTENDANCE AT OTHER MEETINGS**

A candidate for AASA President-elect may be recognized at a statewide or intra-state regional meeting in the resident state of the candidate and the association, without extending the same privilege to other candidate(s) for the same position.

A state association may invite or allow a candidate for AASA office from within the state, to address a statewide or intra-state regional meeting within the state without extending the same privilege to other candidate(s) for the same position so long as the address is not a campaign speech, there is no mention of his or her candidacy, nor is there a request for support.

With prior approval from the chair of the Election Committee, candidates may participate in or attend meetings outside their home states during the election period defined as the time between the National Conference on Education and the day that ballots are counted.

National Conference on Education rules will apply to state meetings regarding candidates. **(See 6. Campaigning at the National Conference on Education, page 11)**

**D. EXECUTIVE COMMITTEE AND AASA STAFF**

Members of the AASA Executive Committee and all AASA staff members are specifically prohibited from candidate endorsements. Executive Committee members may not serve as consultants of any kind to any candidate during the election period, including speaking on behalf of a candidate before the Governing Board. Further, AASA staff is prohibited from assisting any candidate in their election efforts.

**E. CAMPAIGN CONSULTANTS**

Candidates are prohibited from using paid campaign consultants.

**F. MEMBERSHIP LISTS**

No candidate or their supporters may use AASA membership lists in any way for campaign purposes.

**G. "DEAL MAKING"**

An arrangement to exchange support for votes among state associations, their Executive Directors or their representatives is prohibited.

**H. PROMOTIONALS, HANDOUTS AND GIVE-AWAYS**

Candidates shall not give anything promoting their candidacy to prospective voters.

**I. OTHER CAMPAIGNING**

Campaigning may only occur at the National Conference on Education as described herein. All and any other campaign activities at any location are prohibited.

**J. "CAN DO" LIST AND "CANNOT DO" LIST**

AASA will maintain a "can do" list of appropriate campaign activities as well as a "cannot do" list of inappropriate activities (**Appendix E - page 28**) for candidates and make such lists available to candidates in the candidate-filing packet.

## **10. COMPLAINTS AND ENFORCEMENT**

### **A. FILING A COMPLAINT**

All complaints must be submitted in writing on a form (*Appendix F - page 31*) provided by AASA and signed by the complainant. The form is also available from the election coordinator at AASA.

### **B. ELIGIBILITY**

Only Active AASA Members may make an election complaint.

### **C. TIMELINE**

Written complaints must be made within 5 business days of an election violation or knowledge of such violation.

### **D. COMPLAINT PROCESS**

All complaints shall be directed to the AASA Election Committee through the AASA election coordinator.

Complaints will be reviewed and ruled upon within 5 business days following receipt of the complaint.

By mutual consent of all candidates, the chair of the Election Committee may extend the complaint process timeline as needed.

Any candidate charged with an alleged violation will be given the opportunity to discuss the alleged violation with the Election Committee.

### **E. APPEAL OF ELECTION COMMITTEE DECISION**

Appeal of the Election Committee's decision will go to the AASA Appeals Board for ruling. The appeal will be decided within 15 calendar days.

The AASA Appeals Board will be composed of three active members, two of whom shall be past presidents of AASA (excluding the current past president of AASA) and one who shall be a past president of the Association of State Executives (ASE). The Appeals Board will be appointed annually by the AASA president to serve for one year. The appointment will be made between the date election results are known and July 1. The AASA president shall designate one of the Appeals Board members to serve as the chair of the Appeals Board. Board members may serve more than one term.

Two additional past presidents of AASA (excluding the current past president of AASA) and one past president of ASE will be asked to serve in a reserve capacity if an Appeals Board member is either directly or indirectly involved with the election complaint. In such a case the Appeals Board member must be replaced. At no time, shall an appeal be heard without three board members.

By mutual consent of all candidates, the chair of the Appeals Board may extend the complaint process timeline as needed

### **F. CONFIDENTIALITY**

All complaints will be kept confidential unless the investigation itself or the eventual remedy might reveal the source. When confidentiality cannot be maintained for these or any other reason, the Election Committee (or the AASA Appeals Board, in the case of an appeal), shall notify the complainant of the circumstances and offer the complainant the opportunity to withdraw or amend the complaint.

**G. SANCTIONS**

Non-compliance or violations of the election rules and/or the candidate's pledge, may result in actions by the Election Committee (or the Appeals Board, in the case of an appeal), ranging from oral correction to disqualification. The candidate found to be in violation will be notified immediately of the consequences.

## **PART TWO: ELECTION GUIDELINES FOR EXECUTIVE COMMITTEE**

### **1. NOMINATING PROCESS FOR STATE/CHARTERED AFFILIATES ELIGIBLE FOR AN AUTOMATIC SEAT**

AASA Governing Board members from each state or chartered affiliate that is eligible for an automatic seat on the AASA Executive Committee shall nominate an eligible candidate from that state or chartered affiliate to be elected to the AASA Executive Committee. The Executive Committee eligibility rules apply to this candidate as they do to all others, however, instead of the nomination form, the state executive will send the director of governance a letter indicating the name or names of the candidates from their state and the date when the Governing Board members from the state selected them. The nominee will be affirmed by the AASA Governing Board representatives from within the appropriate region.

Following the announcement of membership numbers at the end of a fiscal year on September 30, if AASA membership in a state has declined to a level at which the state is no longer automatically eligible for a seat on the Executive Committee then the affected Executive Committee members must resign his/her position at that time. If this occurs in a region with more than two elected Executive Committee members, no election is needed.

However, if this occurs in a region with only two elected Executive Committee members then the Governing Board members from the region must elect another Executive Committee member. The "former" Executive Committee member may be elected to this position. It will be incumbent upon AASA staff to keep state association executive directors apprised of the membership numbers and the potential impact.

### **2. NOMINATING PROCESS FOR OTHER STATE/CHARTERED AFFILIATES**

A nominee for the AASA Executive Committee may be nominated by any Governing Board representative from within the region and shall include signatures of support from two additional representatives from each of two states from within the region. This requirement does not apply to #1 above. An Executive Committee Nomination Form will be available on AASA's website in October. Nominations may be submitted to the AASA election coordinator between the first of November and the Friday of the week after the National Conference on Education. The due date will be published on the form for the year.

Once nominated, nominees will be asked to provide biographical information and responses to 3 questions prepared by the Election Committee. This material is to be submitted to the AASA election coordinator and will be shared with all Governing Board representatives within a region.

### **3. CAMPAIGNING**

To promote their candidacy prior to the election, Executive Committee candidates may correspond personally by telephone, letter or e-mail with the other Governing Board representatives within their region. A candidate may not travel to other states within the region expressly to promote his/her candidacy, nor will the candidate establish an advisory committee or group to assist with the campaign.

Other than for communications as noted above, a candidate may not spend any funds from any source to promote their candidacy. This includes such things as: flyers, newsletters, pins, pens, pencils, buttons, compact discs, trinkets or any other tangible items such as receptions, complimentary drinks or dinner, etc. If in doubt a candidate should contact either the election coordinator or the chair of the Election Committee.

Any campaign related activity is to be done solely by the candidate.

Candidates may not be endorsed by:

- State associations or state association executive directors from within or outside the region
- Current or past presidents of AASA

- Current Executive Committee members, including AASA president-elect
- Governing Board representatives from within or outside the region (other than signing a nomination form)

#### **4. BALLOTS**

Ballots will include the names of all nominated candidates, including the candidate from the state/chartered affiliate eligible for an automatic seat on the Executive Committee.

Governing Board representatives will be asked to affirm the candidate from the state/chartered affiliate with an automatic seat in addition to voting for their other choice. Should a candidate from a state/chartered affiliate with an automatic seat on the Executive Committee not receive the affirmation from a majority of the Governing Board representatives from the region, the state/chartered affiliate shall nominate another candidate for affirmation.

Ballots will be prepared and distributed by the AASA election coordinator to the Governing Board representatives in each region in such time as to allow for the ballots to be counted at the same time as the ballots for the AASA president-elect. Ballots will be counted under the provisions established by the AASA Election Guidelines, unless the state doesn't have its candidates finalized, in which case a separate timeline shall be established.

All ballots must have votes equal to the number of vacancies for each position on the ballot to be valid, i.e. if there are two Executive Committee positions open, there would be two votes.

For an election to be valid,  $\frac{3}{4}$  of the Governing Board representatives within a region must participate in the election. The candidate(s) receiving a plurality of the votes cast shall be declared duly elected. Any ties will be settled by a coin toss. The candidates are to be notified that the coin toss will take place the next day. The AASA executive director will supervise a coin toss to determine the winner. Candidates or their representatives may be present if they can travel to AASA in time for the coin toss. All travel costs are to be at the expense of the candidate or their designee.

All other rules and conditions affecting the AASA election process may be found in the AASA Bylaws. Other questions or inquiries should be directed to:

**Noelle Ellerson Ng**  
**Associate Executive Director, Advocacy & Governance**  
**AASA**  
**1615 Duke Street**  
**Alexandria, VA 22314**

[nellerson@aasa.org](mailto:nellerson@aasa.org)

Telephone: 1-703-774-6935  
Fax: 1-703-528-2146

## **PART THREE: ELECTION GUIDELINES FOR GOVERNING BOARD**

### **1. MEMBERSHIP**

The Governing Board of the Association shall be composed of the duly elected representatives of each chartered affiliate. Each chartered affiliate is entitled to a minimum of two (2) representatives on the Governing Board for up to 100 eligible voting AASA members. The chartered affiliate shall be entitled to an additional representative for every 100-additional eligible AASA voting members from within the chartered affiliate.

The number of representatives allocated to a chartered affiliate shall be based on the number of eligible voting AASA members within the chartered affiliate on September 30 of any given year. Proposals for the timing of adding or removing a Governing Board representative shall be developed by the Election Committee and approved by the Executive Committee.

The adjustment to the number of representatives serving on the Governing Board, either an increase or a decrease in the number of representatives, shall become effective on July 1st each year. Should a chartered affiliate need to reduce the number of representatives, the chartered affiliate will determine which representatives will continue to serve on the Governing Board.

### **2. CHARTER AFFILIATE RESPONSIBILITY**

Each chartered affiliate shall develop a plan for electing members to the Governing Board, including procedures for filling vacancies when necessary. Once developed, or revised, the election plan shall be sent to the AASA executive director who has the authority to accept or reject the plan. Additionally, the executive director has the authority to monitor the implementation of said plan.

### **3. TIMELINE FOR NOTIFYING AASA OF NEW GOVERNING BOARD MEMBERS**

Chartered affiliates should identify new Governing Board members with terms starting July 1 no later than June 1 to accommodate their participation in the summer Governing Board meeting. Contact information for new members should be reported to the AASA director of governance.

**The following appendices apply to candidates seeking to be elected to the office of AASA president-elect.**

**Instructions specific to other AASA offices are included elsewhere in this document.**

## **APPENDIX: A**

### **Format for Candidate Information**

AASA's website will serve as the official election communication vehicle. Candidates' answers to provocative issues-related questions will appear on the AASA website. All candidate profiles will be published, along with a head-and-shoulder photo. Please submit a color digital photograph. Please select your photographs carefully, looking for clarity, sharpness and technical quality.

All AASA president-elect candidates must submit the following items as part of the filing documentation. Responses are to be provided as a Word document via e-mail.

1. Mini-resume describing qualifications and demographic information (submitted as part of the filing documentation)
  - a. Name
  - b. Number of years as an AASA Member; number of years as a chartered affiliate member; and the term(s) of service on the AASA Executive Committee and/or the AASA Governing Board
  - c. Current position, including title, school district or other organization, city, and state with starting date
  - d. Most recent previous position, including title, school district or other organization, city, and state with starting and ending dates
  - e. Post-secondary education (Bachelor's, Master's, Advanced Certificate, Doctorate). Please include names of institutions, city, and state, and the year(s) in which degree(s) was received. Please provide this in reverse order with the most recent degree listed first.
  - f. AASA activities and other activities. Please provide this in reverse order with the most recent activities listed first. ***(Limit to 10 items total. May include volunteer leadership, affiliations, conference presentations)***
2. Respond to the following two questions (submitted as part of the filing documentation):
  - a. Why are you seeking election as AASA's president-elect? ***(100 words or fewer)***
  - b. If nominated and elected, what will be your #1 priority? ***(50 words or fewer)***

It is advisable not to repeat the questions in your answers, to facilitate staying within the word limits as noted.

3. Each candidate will write and submit a 600 – 650-word essay on a topic of their own choosing as if it were to be used as a monthly "AASA President's Column" found in ***The School Administrator***.
4. Candidates are to submit a color digital photograph, to be included with materials distributed to AASA Governing Board members. Candidates should select photographs carefully, looking for clarity, sharpness and technical quality. Nominated AASA president-elect candidates will have their pictures printed on the biographical materials included with the ballots and on the AASA website.
5. \$500 filing fee

The above questions and all others to be asked of candidates will appear on AASA's website along with all the other candidates' responses. It is advisable not to repeat the questions in your answers, to facilitate staying within the word limits as noted.

Please submit photographs and written responses to:

Noelle Ellerson Ng  
Associate Executive Director, Advocacy & Governance  
AASA  
1615 Duke Street  
Alexandria, VA 22314

*nellerson@asa.org*

Phone                703-774-774-6935

**APPENDIX: B**

**AASA Election: President-Elect Candidate Pledge**

I have read the AASA Election Guidelines and I agree to obey the AASA election rules, in spirit and in word.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Office Telephone: \_\_\_\_\_

FAX Number: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

**APPENDIX: C**

**Sample Letter**

**NOTE TO THE PRESIDENT-ELECT CANDIDATE**

Date

Dear Colleague:

I have been nominated as a candidate for the position of president-elect of AASA, The School Superintendents Association.

Compliance with the AASA electoral process requires that I ask your organization not to endorse or promote my candidacy or urge my election.

This does not preclude your organization from noting that AASA has an election and noting all the candidates, including me. AASA's electoral process was reformed because, like the national political electoral process, it had become too expensive and prolonged. The Executive Committee of AASA adopted the rules regarding endorsements of candidates to make the campaigns more consistent with standards of conduct and ethics of school administrators, by having all campaigning done through AASA publications and at the AASA National Conference on Education.

Individual active members may communicate with other AASA active members, about a single candidate and support of that candidate by letter, fax or electronic transmission. Any cost of the mailings, faxes, or electronic transmissions must be the responsibility of the individual and cannot be that of the candidate or other third party. No enclosure, attachment or brochure may be distributed with the letter, fax or electronic transmission.

A member may discuss a candidate on a personal, one-to-one individual basis with another member. Endorsement of candidates by a state association, caucus, committee, group or corporation could result in sanctions against me, including a 10 percent deduction from my vote total.

Please call me if you have any questions about AASA election rules or the information you plan to publish. Thank you for your consideration of this matter.

Sincerely,

## **APPENDIX: D**

### **Communication Plan**

- I.** AASA's website will serve as the official election communication vehicle. Official biographies or resumes of candidates for the AASA president-elect will appear online.

Candidates' answers to provocative issues-related questions will appear on the AASA website. Answers will be limited to specified word limits. All candidate profiles will be published, along with a head-and-shoulder photo.

- II.** State association newsletters can run articles about the AASA president-elect election. In addition, state association newsletters may run the candidate information exactly as it appears online, minus the questions and answers.

- III.** The AASA newspaper (print or electronic version) covering the National Conference on Education may cover certain aspects of the election. This may include coverage of the candidates, biographical and/or professional information, and/or their views and opinions on a variety of topics. This is considered news coverage and not campaigning.

- IV.** Those candidates nominated for the office of AASA president-elect will be permitted to communicate through AASA with eligible AASA voters via e-mail twice during the election period, defined as the time between the National Conference on Education and the day that ballots are counted. AASA will send the first e-mail approximately one week following the end of the National Conference on Education and the second, two weeks later.

Each candidate will be responsible for the content of their message and it will be limited to a maximum of 300 words. In addition to hearing from the candidates, voters will be encouraged to visit the AASA website for additional election information.

## **APPENDIX: E**

### **CAN DO LIST**

#### **1. IDENTIFICATION AS A CANDIDATE.**

The minute the proper notification is given to the state and to AASA, a candidate may identify himself or herself as a candidate seeking nomination for AASA president-elect. The candidate may respond to questions, engage in discussions but may not solicit votes or support

#### **2. PROFESSIONAL MEETINGS, CONFERENCES OR SEMINARS.**

At any time before or during the election process, a candidate may attend all such meetings. Only after proper notification may the candidate identify himself or herself as a candidate. Although discussion may occur about the candidacy, no campaigning is allowed. A candidate shall not be introduced as such if the introduction could be interpreted as an endorsement or support unless all candidates are introduced at the same meeting and in the same manner.

A candidate for AASA president-elect may be recognized at a statewide or intra-state regional meeting in the resident state of the candidate and the association, without extending the same privilege to other candidates for the same position.

A state association may invite or allow a candidate for AASA office from within the state, to address a statewide or intra-state regional meeting within the state without extending the same privilege to other candidates for the same position so long as the address is not a campaign speech, there is no mention of his or her candidacy, nor is there a request for support.

#### **3. NATIONAL CONFERENCE ON EDUCATION ACTIVITIES.**

(Refer to the separate section about this within these Guidelines, *page 10*.) A candidate may engage members personally throughout the National Conference on Education. This direct campaigning is only permissible from the day of the opening general session until the conclusion of the closing general session. This is the only time campaigning is allowed.

#### **4. APPEARANCES AT THE NATIONAL CONFERENCE ON EDUCATION.**

Specific appearances, including introduction at the Opening General Session and the Candidate's Forum are described previously. Candidates may choose to attend any breakfast or reception and they will be provided with a list of scheduled breakfasts and receptions. Candidates shall not interrupt a program or presentation in progress.

A candidate may continue their official AASA related responsibilities as specified in **2. C. AASA Related Activities (page 4)** and confirmed by the Executive Officers. Participation in the "Singing Superintendents" is permissible.

#### **5. AASA RELATED ACTIVITIES.**

An AASA Active Member serving in an official AASA related position may continue to perform the duties and responsibilities associated with that position, even after declaring his or her candidacy for AASA president-elect.

#### **6. FILING FEE.**

All or part of the \$500 candidate's filing fee may be paid by the candidates' home state association. The filing fee must be received on time as part of the filing packet. (*See 2(H)*).

## **7. DISTRIBUTIONS/MAILINGS.**

Mass campaign mailings, distributions, and/or communications made to eligible voters for candidates including electronic media such as, e-mails, faxes, telephone or other electronic communications shall be permitted so long as the mailings are neither initiated by nor done in coordination with or approval of, a candidate running for office, and are conducted by someone who knows the candidate personally (adhering to the "reasonable person standard" – what a reasonable person would do under the same or similar circumstances).

Any member, including: state association executive directors, past presidents of AASA, current Executive Committee members (except for the three AASA officers) and current Governing Board members may discuss a candidate on a personal, one-to-one individual basis with another member. A member may, on an individual basis, answer a personal question about a candidate, including "Who are you going to vote for?" without being in violation of the AASA Election Guidelines.

However, when speaking before a public group(s), endorsement of a candidate by a state association executive director, past president of AASSA, current Executive Committee member or current Governing Board member is prohibited.

Individual members may (on an individual, one-to-one basis) communicate with other AASA members, about a single candidate and support of that candidate by letter, fax or electronic transmission. Any cost of the mailings, faxes, or electronic transmissions must be the responsibility of the individual and cannot be that of the candidate or other third party. No enclosure, attachment or brochure may be distributed with the letter, fax or electronic transmission. (*See also Part I, Sec. 9(A) and 9(D)*)

## **8. ENDORSEMENTS**

There shall be no public endorsement(s) made of an AASA candidate by a state association or state association executive director, past president of AASA, current Executive Committee member, current Governing Board member, caucus, committee, group or corporation.

## **9. AASA STAFF & LEADERSHIP**

AASA employees and current association officers cannot participate in the election process.

## **CANNOT DO LIST**

### **1. NATIONAL CONFERENCE ON EDUCATION ACTIVITIES.**

At the AASA National Conference on Education, a candidate for AASA president-elect may not be preside over a session or be a program presenter, moderator, or facilitator.

### **2. ENDORSEMENTS**

AASA candidates for office may not be publicly endorsed by any state association or state association executive director, past president of AASA, current Executive Committee member, current Governing Board member, caucus, committee, group or corporation.

### **3. CAMPAIGN CONSULTANTS**

Candidates are prohibited from using paid campaign consultants.

### **4. AASA MEMBERSHIP LIST**

No candidate or their supporters may use any part of the AASA membership list in any way for campaign purposes.

### **5. CANDIDATE CAMPAIGNING**

Other than National Conference on Education activities, a candidate for AASA president-elect may not:

- Travel to states with the express purpose of promoting his/her candidacy
- Establish an advisory committee or group to in any way assist with the campaign.
- Spend any funds from any source to promote their candidacy. This includes distributing such things as: flyers, campaign brochures, newsletters, pins, pens, pencils, buttons, compact discs, trinkets or any other tangible items such as receptions, complimentary drinks or dinner, etc. If in doubt, a candidate should contact either the election coordinator or the chair of the Election Committee.
  
- Be publicly endorsed by:
  - State associations or state association executive directors
  - Past Presidents of AASA
  - Current Executive Committee members
  - Current Governing Board members
  - A caucus, committee, group or corporation

**APPENDIX: F**

**AASA Election Complaint Form**

Only active AASA members may make election complaints. All election complaints must be submitted in writing on this form and signed by the complainant. This form must be submitted to AASA within 5 calendar days of the election violation or knowledge of such violation. All complaints shall be directed to the AASA Election Committee through the AASA staff liaison. Complaints will be reviewed and ruled upon within 5 calendar days following the receipt of the complaint. Appeal of the Election Committee’s decision will go to the AASA Appeals Board for ruling. The appeal will be decided within 5 calendar days.

All complaints will be kept confidential unless the investigation itself or the eventual remedy might reveal the source. When confidentiality cannot be maintained for these or any other reason, the Election Committee (or the AASA Appeals Board, in the case of an appeal) shall notify the complainant of the circumstances and offer the complainant the opportunity to withdraw or amend the complaint.

Non-compliance or violations of the elections rules and/or the candidate’s pledge, may result in actions by the Election Committee (or the AASA Appeals Board, in the case of an appeal), ranging from oral correction to disqualification. The candidate found to be in violation will be notified immediately of the consequences.

Date election complaint form submitted to AASA: \_\_\_\_\_

Candidate accused of alleged election violation: \_\_\_\_\_

Description of alleged election violation: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Provide a description and include copies of all evidence to be considered: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date(s) of alleged election violation or knowledge of alleged election violation: \_\_\_\_\_

\_\_\_\_\_

**CONFIDENTIAL**

=====

Complainant: \_\_\_\_\_  
(please print)

Signature: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Please return completed form to:

**Noelle Ellerson Ng**  
**Associate Executive Director, Advocacy & Governance**  
**AASA**  
**1615 Duke Street**  
**Alexandria, VA 22314**

Phone: 1-703-875-0765

FAX: 1-703-528-2146

[nellerson@aasa.org](mailto:nellerson@aasa.org)

**To be completed by AASA**

Date received at AASA: \_\_\_\_\_

AASA ID Number of Complainant: \_\_\_\_\_

Verification that Complainant is an Active AASA Member:     yes                       no

**Election Committee Action**

Date Election Committee Addressed the Alleged Violation: \_\_\_\_\_

Action taken by the Election Committee: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date candidate notified of the outcome: \_\_\_\_\_  
(Copy of notification is attached.)

Notified by: \_\_\_\_\_

---

**Appeal Process** (if necessary):

Date candidate appealed decision: \_\_\_\_\_  
(Copy of appeal is attached.)

Date Appeals Board Addressed the Alleged Violation: \_\_\_\_\_

Action taken by the Appeals Board: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date candidate notified of the outcome: \_\_\_\_\_  
(Copy of notification is attached.)

Notified by: \_\_\_\_\_



**AASA, The School Superintendents Association**  
1615 Duke Street  
Alexandria, VA 22314