



**The ASCD Affiliate Leader Handbook**  
**September 2019**



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## **The ASCD Affiliate Leader Handbook**

**September 2019**

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## Welcome

Welcome to the ASCD Affiliate program! We are pleased to have you join us in serving educators worldwide as the standard of excellence in professional education associations. As an ASCD Affiliate leader, you hold a key role in sustaining your affiliate program and building capacity for new opportunities to serve educators throughout your region.

As your partner, ASCD works with you to provide the programs, products, and services that add value to affiliate membership. We offer board professional development, consultation on governance matters, and support for your important work in crafting the vision, policies and practices that will grow your affiliate by engaging educators where you live and work. ASCD's mission model is a concise visual display of our current work, with the Whole Child at its center, and five communities of excellence:

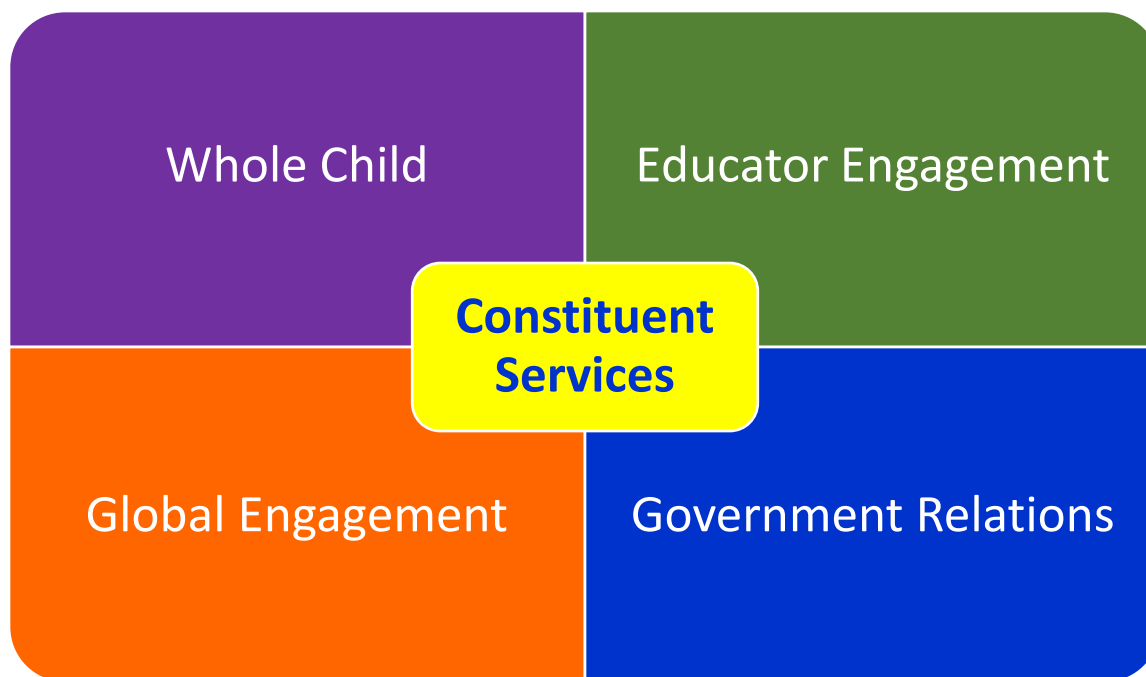


In addressing global engagement, poverty and equity, redefining student success, teaching and learning, and transformational leadership, ASCD is working to meet the needs and interests of today's educators, and we invite our affiliates to align their work with the mission model.

Your charge as an ASCD Affiliate leader is to craft the mission, vision, and goals for the affiliate that are aligned with ASCD, and to carry out the day-to-day operations of your organization. There will be many opportunities and initiatives you may consider pursuing as an affiliate leader. The key question you will want to ask in considering a new opportunity is, “Do we currently have the capacity to successfully take on this new program, product, or service?” If the answer is no, then your follow-up question is, “What do we have to do to build the capacity needed to be prepared for such opportunities in the future?”

Today’s ASCD Affiliates are transforming themselves into conveners of networking, learning and problem-solving events for educators. As a leader, you are encouraged to make use of digital communications, data management systems, and innovative delivery of programs, products, and services that serve the professional needs and interests of your membership. An important way to build capacity for this kind of responsiveness is to collaborate with other education agencies and associations in your region, with other ASCD affiliates, and with ASCD. You are the eyes, ears and hands of ASCD in your local area, and we want to do everything we can to help you be successful.

ASCD Constituent Services is your first point of contact for connecting into ASCD’s resources and expertise. The Constituent Services staff is here to support you in the important work of leading your affiliate during your tenure as a board leader. We can connect you with ASCD staff working in educator engagement, global engagement, government relations, and Whole Child initiatives, as well as professional learning services, publishing, communications and marketing. For general inquiries, you can always reach us through [wmckenzie@ascd.org](mailto:wmckenzie@ascd.org).



We hope that this handbook will be an invaluable resource to you in your important work.

## New Leader Orientation

As a new affiliate leader, you have access to resources that can help you to acclimate to your new role. First, of course, is the Affiliate Leader Handbook, which is updated on an ongoing basis to keep it relevant and current. You are encouraged to download a copy to keep locally for your reference, and you can always access a copy online at the [Affiliate Community home page](#).

The Affiliate Community home page, is your comprehensive collection of ASCD resources for affiliates. Along with the affiliate directory, FAQ page, and the listing of affiliate advisors, it is suggested that you bookmark this site for your future reference.

Your affiliate advisor is your direct contact with ASCD, connecting you with resources and guidance to support you as you move your affiliate forward. You may contact your advisor whenever you have a question or a need. They are available as your partner in leading and growing your affiliate, and they can be especially helpful as you learn your affiliate leader role, serving as a coach and mentor. Be sure to check in with them on a regular basis.

The ASCD Affiliate Mentor program pairs up new affiliate leaders with veteran counterparts in the same leadership role, to help you learn the ropes and become comfortable as an affiliate board president or executive director. If you are interested in identifying a mentor to work with during your first year as an affiliate leader, contact your affiliate advisor to discuss your needs.

ASCD Constituent Services also offers asynchronous online orientation modules for both affiliate board presidents and executive directors who are new in their roles. Available on your schedule any time anywhere you have Internet access, these modules provide you with the nuts and bolts for getting started as an affiliate leader. The modules are listed here, along with the password to access each set:

### **ASCD Overview Modules**

Password: ASCDL2L

[ASCD 101](#)

[Constituent Services 101](#)

### **ASCD Affiliate Executive Directors Orientation Modules**

Password: AffilExec

[ASCD Affiliate Executive Director Virtual Orientation](#)

[Affiliate Executive Directors: Getting Started](#)

[Race for Relevance, Road to Relevance, and ASCD Affiliates](#)

[ASCD and Affiliates](#)

[The Role of the Affiliate Executive Director](#)

[Professional Development Plan Examples](#)

[Affiliate Incorporation and Tax-Exempt Status](#)

[Affiliate Audits: External and Internal](#)

[Affiliate Reporting and Record Keeping](#)

[Beginning Affiliate Finance Management](#)

**ASCD Board Presidents Orientation Modules**

Password: AffilPres

[Presidents and Presidents-Elect Orientation](#)

[ASCD and Affiliates](#)

[Your Affiliate Presidency](#)

[The Role of the Affiliate President on the Board of Directors](#)

Through your affiliate advisor, the Affiliate Community home page, the affiliate leaders handbook, the affiliate mentor program and the online affiliate orientation modules, you have the support of ASCD in moving your affiliate forward.



## Your Role as Affiliate Board President

The board president holds the legal and fiduciary responsibilities for running the affiliate. Working with your board, you will create a vision and plan for moving your affiliate forward. You have the opportunity to build capacity for your affiliate and create new value for current members and prospective members.

The president leads the board in serving as the governing body of your affiliate, including presiding over board meetings, calling board votes, and hiring and evaluating the affiliate executive director. To help you start off successfully, here are some practical steps that you should take when assuming your position:

- Meet with the executive director to discuss your collaboration and respective responsibilities for the upcoming year. As the person responsible for the affiliate's day-to-day activities, your executive director is not only a great source of pertinent information for your role, but also the ideal way to begin a positive working relationship with a key leader in the organization. This is also a great time to touch base on the executive director's goals, job description, and contract so that expectations are clear before it comes to evaluation time.
- Communicate early and often with the board members. Communication is a great ally in influence. Building awareness around your efforts during your presidency will make gathering support and buy-in for your initiatives that much easier. Consider creating a calendar of events that includes board meeting dates and themes that also communicates the focus and goals of your presidency.
- Work with the officers and board members to establish a team for success. Think about the strengths of each leader and give them roles that maximize those capabilities. Be sure each board member understands the role of the board and each member's individual role. Also, develop standing and ad hoc committees which include non-board members as a way to broaden your base.
- Review your affiliate's constitution and by-laws, policies, and protocols. Each affiliate is unique, and so while this orientation piece is designed to give you an overview of common responsibilities to all affiliate presidents, your affiliate may have specific expectations that are not outlined here.
- Review how your affiliate's records are kept. Keeping updated and accurate records may seem trivial, but it is integral to sustaining the efforts of the organization. Determine if your role includes updating these records, and the best way to do so.
- Establish a calendar of meetings and events for the year. Do not worry if you have not yet set your goals for your presidency; your board will benefit from having these dates in their calendar.

### Planning and Setting Goals

ASCD bases its success on a strong vision and planning. As board president, you should develop an affiliate plan that lays out a visionary, generative, and measurable path for the organization, and it should cover your term.

Before considering your plan, know these critical affiliate planning components:

- Your affiliate's mission statement
- The work of your executive director and any other affiliate staff in carrying out board decisions
- Belief statements that describe the principles of the organization and what it sees as core values
- A vision that describes where the affiliate would like to be at the end of the plan

- Goals or objectives that express what the affiliate expects to achieve within the time frame of the plan
- Strategies that are specific actions the affiliate plans to take toward realizing its goals or objectives

You should have three to four goals in place for your plan, targeted to your perceived affiliate needs and make use of your unique leadership strengths and experiences. For each goal, identify the:

- Responsible group – those board members and committee members who will work with you to successfully complete the identified goal
- Outcome – the measurable result of your goal’s implementation and how it will benefit your affiliate
- Target date – the targeted date of completion for the identified goal

Examples of goals may include:

- Putting in place an affiliate leadership transition plan
- Identifying strategic affiliate partners
- Collaborating with bordering affiliates to conduct a regional professional development event
- Developing a tiered sponsor program to increase affiliate revenue through strategic sponsorships.

Make your goals realistic and attainable. Once successfully implemented, your plan will leave a legacy of your leadership serving the affiliate. It will also serve as a starting point for your president-elect’s plan, building up on your vision and success.

Once your plan is complete, share it with your board and solicit feedback to firm up your plan before going into action. Your board will be key supporters of your plan and its success. Making them aware of your goals and getting their buy in for your plan is critical in preparing for a successful term as president.

### **Working with Your Executive Director**

ASCD requires each affiliate to have an executive director to carry out the board’s work and maintain the day-to-day operations of the affiliate. Your affiliate’s executive director is the primary contact person for ASCD. We know that an effective executive director is a key component in a successful organization. Hiring, supervising, and retaining the right executive director for your affiliate are key responsibilities of the board.

The affiliate board sets vision and policy for the organization; the executive director is accountable to the board and assists the president and the board in implementing the policies and procedures as well as the ongoing operations. As coordinator for all affiliate initiatives, the executive director oversees all programs, services, product development and membership benefits identified by the board. The executive director serves as an ex-officio non-voting member of the board and should report to the board each month and annually on the status of the implementation of board directives.

Your board determines if your affiliate’s executive director is full- or part-time, compensated or uncompensated. In all cases, ASCD recommends that you have a letter of agreement or contract with the executive director that includes a job description as well as specifics regarding responsibilities and expectations. Samples are included in the appendix of the Affiliate Leaders Handbook. The affiliate budget should also provide for operational expenses, including a budget for supplies, communications, and travel. Support for the executive director’s travel on behalf of the affiliate should also be in the budget and may be included as part of the employment agreement.

The board should review the executive director's job description and job performance annually. Sample evaluation tools are also included in the Affiliate Leader's Handbook appendix. Your affiliate's bylaws may outline the process for making revisions to the job description and may identify the individuals on your board who are responsible for providing oversight of the executive director. Most often this is the executive committee, but on larger boards it may be a personnel committee.

ASCD staff can share best practices and ask guiding questions if you have concerns about the relationship between the board and the executive director. Please be aware that we do not intervene in the relationship between your board and executive director if issues arise.

### **Working Closely with ASCD**

Although the executive director is your affiliate's primary liaison to ASCD, we encourage you to connect with ASCD Constituent Services staff for consultation and guidance. We are available to share best practices for hiring and supervising your executive director, discuss effective board work, and connect you with other Constituent Services group leaders.

When communicating with ASCD, always include your executive director and any other board members pertinent to your inquiry. It's an excellent way to promote solid board communication and allow the opportunity for your affiliate leaders to acquire new leadership skills in the process.

ASCD is your partner in meeting member and educator needs in your region, and we are open to discussing new possible relationships or partnerships with affiliates and welcome your creative ideas. Please submit a descriptive proposal for any new work you'd like to undertake, including requirements, budget, timeline and expected outcomes to [wmckenzie@ascd.org](mailto:wmckenzie@ascd.org).

## The Affiliate Executive Director

An effective executive director is a key component in a successful affiliate. The affiliate board sets vision and policy for the organization, and the executive director serves at the pleasure of the board to assist the president and the board in implementing the policies and procedures of the affiliate and running its everyday operations. The executive director serves as an ex-officio, nonvoting member of the board and is accountable to the board.

The executive director should report to the regularly on the status of the implementation of board directives.

The executive director serves as the first point of contact with the public, as well as other agencies and nonprofit organizations. The executive director serves as the liaison with state and provincial government education agencies, as well as state-level professional education associations. As the coordinator for all affiliate initiatives, the executive director oversees all programs, services, product development and membership benefits.

The services of the executive director are contracted annually. Compensation is determined by the board and can be full-time or part-time, paid, or volunteer. Operational expenses are provided for the office including a budget for supplies and communications. Support for travel of the executive director on behalf of the affiliate is also provided in the annual budget.

The executive director is required to possess administrative experience, information technology skills pertinent to the responsibilities of the position, communication and organization skills, and a commitment to the affiliate.

### General duties:

- Serve as Chief Operating Officer and the administrative representative of the affiliate, supporting the decisions of the board of directors.
- Serve as ex-officio, nonvoting member at board and executive council meetings.
- Prepare the Affiliate Data Profile annual report for ASCD.
- Attend all board meetings, executive council meetings, conferences, and other association activities as determined by the president.
- Assist the president in scheduling board meetings and preparing agenda.
- Maintain archive of affiliate records and communications.
- Oversee planning, conduct and verification of affiliate elections.
- Perform any other functions appropriate to the office of the executive director, which may be assigned by the board or through the president.

### Communications:

- Serve as the first point of contact with ASCD on behalf of the affiliate, as well as other professional education agencies and organizations.
- Promote collaboration with other ASCD affiliates and communities.
- Serve as the liaison with state and provincial government education agencies, as well as state-level professional education associations.

- Serve as the official correspondent for the affiliate.
- Prepare and mail any correspondence as directed by the president.
- Oversee all affiliate publications and monitors the affiliate online presence.
- Recruit and provide training for staff and volunteers who support publications.
- Review the preparation, processing, publishing, and distribution of affiliate publications.
- Maintain a file of all correspondence for the current year and transfer important letters and documents pertaining to the history of the affiliate, copies of programs of annual conference, and special programs to the affiliate's permanent file.

#### Programs:

- Attend the ASCD annual conference and leadership events as appropriate.
- Align affiliate programs with ASCD programs and initiatives.
- Develop program offerings in collaboration with other ASCD affiliates and communities.
- Coordinate all affiliate programs and services.
- Provide leadership regarding planning for professional development events.
- Make arrangements for professional development events, including contracts with exhibitors, hotels, meeting rooms, and other needs.
- Oversee influence and advocacy initiatives for the affiliate.

#### Membership:

- Coordinate membership activities with the board and designated committees.
- Oversee membership outreach and recruitment efforts.
- Receive and verify ASCD membership roster for the affiliate's geographic location.
- Ensure the accurate processing of all membership applications and renewals and maintain an up-to-date affiliate membership database.
- Make quarterly membership reports to the board.

#### Finance:

- Assist the president in preparing the affiliate's proposed annual budget for the board to consider annually.
- Monitor the budget and work with the affiliate's treasurer in preparing and presenting financial reports.
- Request, receive, and process joint dues funds from ASCD.
- Receive the affiliate's funds for immediate deposit in the affiliate's bank account.
- Serve as a second signature on affiliate banking transactions.
- Assist in maintaining an accounting of all receipts and disbursements of the affiliate and supervise the bookkeeper's work.

- Oversee the affiliate's tax report preparation to the IRS.
- Assist in the annual financial audit or audit review, as directed by the board.

### **The Executive Director Contract**

A contract is a legal document that spells out the specific obligations of the affiliate and the executive director. A contract should be required of any executive director that the affiliate pays with a stipend or salary. When the executive director is a volunteer, the contract should cover any reimbursement or unique expenses required. Any contract with the executive director should contain the following:

- Beginning and ending dates of contract
- A statement of services to be provided
- A definition of compensation or benefits
- The method of evaluating the executive director and terms of renewal
- Conditions for terminating the contract—for either party
- Signature of the executive director and affiliate president with date
- Sample executive director contracts are included in the appendix of this document.

### **Executive Director Evaluation**

The job description is the primary source for evaluating the executive director's performance. Board policies and any contract with the executive director should outline how, when, and by whom the executive director will be evaluated. In almost all cases the affiliate board conducts the evaluation.

A systematic evaluation system is essential for recognizing the executive director's accomplishments, identifying performance areas in need of improvement, and clarifying and communicating the board of directors' expectations and priorities. Discussion of board expectations and executive director performance areas in need of improvement should be done constructively using concrete examples and measurable goals.

This evaluation is based on the organization's job description for the executive director position and is the primary tool used for recommending renewal or nonrenewal of contract for the subsequent year. A separate performance evaluation self-assessment is provided as part of the overall evaluation process.

Annual evaluation is an iterative process that should be conducted as an ongoing cycle throughout the contract year. The completion of this evaluation instrument should be the final step in documenting this ongoing dialogue between the executive director and the board.

Board Responsibilities:

- *President:* Oversees the integrity of the evaluation process for compliance with board policy. Briefs the board of directors on results of the evaluation when completed. Notifies the executive director of intent to renew or not renew the contract.
- *Executive Committee:* Solicits input from board of directors; develops a consensus on executive director performance against pre-established job description, executive director performance evaluation self-assessment, and the criteria set forth in this instrument.
- *Executive Director:* Provides information as requested by the executive committee to evaluate compliance with policies and accomplishment of assigned tasks. Completes a separate performance evaluation self-assessment prior to this annual evaluation by the board. Meets with the president and executive committee to discuss his/her job performance and any specific performance areas in need of

improvement.

- *Board*: Receives and files the completed annual evaluation of the executive director at its December board meeting.

As a sample evaluation timetable, consider accomplishing these tasks prior to the board meeting in each month indicated:

- June: Executive committee reviews, modifies as appropriate, and approves this evaluation instrument.
- July: Executive director provides to the executive committee members a written report on the status of board-directed tasks and directives and compliance with board policies.
- August: Executive director completes performance evaluation self-assessment and submits it to the president.
- September: Executive committee members discuss with the executive director their perceptions of executive director performance against the job description, the completed executive director performance evaluation self-assessment, and the criteria outlined in this evaluation instrument. The president engages committee members in developing a consensus on the executive director's performance against the evaluation criteria. In areas where there is a consensus that there is a need for performance improvement, the executive committee shall develop clear and explicit statements as to expectations and a method to monitor progress toward meeting performance expectations. The executive director shall participate in the discussion. The president shall record the content of the discussions.
- October: The president shall review with the executive director a draft of the executive committee's evaluation and shall discuss it with the executive director, who may offer suggestions and clarifications to ensure completeness and accuracy. The executive committee shall review, modify, and approve the president's draft.
- November: The president notifies the executive director of the board's intent to renew or not renew the contract effective January 1 of the new calendar year.
- December: The president shall present the evaluation to the board of directors. The evaluation shall be received and filed.

This timetable can be modified to meet your affiliate's annual year. Sample executive director evaluation instruments are included in the appendix of this document. Annual evaluation of the executive director shall include the opportunity for him/her to include a narrative of accomplishments in each of the above job categories. Any areas of executive director performance in need of improvement must include clear, concrete, concise, measurable steps s/he can take to demonstrate improvement in the coming year.

### **Working with Your Board President**

The board president holds the legal and fiduciary responsibilities for running the affiliate. Working with your board, you will create a vision and plan for moving your affiliate forward. You have the opportunity to build capacity for your affiliate and create new value for current members and prospective members.

While the president works with the board, setting the vision and policy for the organization, your role as executive director is to assist the president and the board in implementing the policies and procedures as well as the ongoing operations. As an ex-officio non-voting member of the board, you are expected to report to the

board each month and annually on the status of the implementation of board directives.

ASCD staff can share best practices and ask guiding questions if you have concerns about the relationship between the executive director and the board. Please be aware that, ultimately, the affiliate board holds the authority to resolve conflicts in the best interests of your affiliate. ASCD cannot intervene to resolve disagreements between the affiliate executive director and the affiliate board.

### **Working Closely with ASCD**

We encourage you to connect with ASCD Constituent Services staff for consultation and guidance, as the need arises. We are available to share best practices for effectively running your affiliate, discuss board development and strategic planning, and connect you with other Constituent Services group leaders.

When communicating with ASCD, always include your board president and any other board members pertinent to your inquiry. It's an excellent way to promote solid board communication and allow the opportunity for your affiliate leaders to acquire new leadership skills in the process.

ASCD is your partner in meeting member and educator needs in your region, and we are open to discussing new possible relationships or partnerships with affiliates and welcome your creative ideas. Please submit a descriptive proposal for any new work you'd like to undertake, including requirements, budget, timeline and expected outcomes to [wmckenzie@ascd.org](mailto:wmckenzie@ascd.org) for consideration.



## Working with Your Board

Governance is the foundation upon which successful affiliates are built and sustained. It puts the structures in place that foster effective decision making, long-term vision, and smooth succession of leadership. Well-developed governance policies and processes will guarantee a strong, vibrant future for your affiliate. Today's affiliate must be generative in its vision; looking ahead for opportunities to build capacity and increase its influence and effectiveness in meeting the needs of its membership and prospective members. Affiliate leadership has many roles that are discussed in this section, none of which is more important than the generative role of the affiliate board. It is the key to becoming an innovation organization.

### Affiliate Relationship with ASCD

Thriving, vibrant affiliates have strong, engaged relationships with ASCD. They become informed on ASCD matters and keep ASCD up to date on regional issues and opportunities. Today's ASCD affiliates are closely aligned with the work of ASCD. The more you align your affiliate work with that of ASCD, the more opportunities you will find to work together.

Affiliates are encouraged to create a culture that promotes members' self-initiated connections within the ASCD community. These connections add value both among individual members and to the organization as a whole. Affiliate should aspire to collaborate on communications and publications with ASCD to accomplish shared views and goals by cross-referencing ASCD publications and communications at events. Affiliates are also asked to actively engage in two-way communication with ASCD and other constituent groups to inform the work of both the affiliates and the association community.

Affiliates are invited to collaborate with ASCD on programs, products, and services to accomplish shared views and goals, systematically updating the community on effective presenters, presentation formats, and best practices. Also, affiliates should provide evidence of effecting change in policy by advancing and informing ASCD positions and combining influence systems into a seamless combination of local, state, provincial, and national levels. In all of these ways, your affiliate can build a strong working relationship with ASCD.

ASCD invites new affiliate leaders to take advantage of resources and opportunities provided by the association to review the obligations of your office, survey the many resources available to your affiliate, and learn more about how affiliates can benefit from collaboration with ASCD.

### Affiliate Roles and Responsibilities

Section 501.1 of ASCD Board policy stipulates:

*Affiliation with ASCD is available to a state or province, a group of states or provinces, or a country or group of countries for the purposes of promoting ASCD as defined in Article II— Statement of Purpose and Objectives. The Board of Directors shall act on applications for affiliation from all groups. A group requesting affiliation must have purposes, membership requirements, and an ongoing program consistent with that of ASCD. The Board of Directors shall determine the criteria by which a group is deemed to meet the definition of affiliation and the minimum criteria to continue affiliation. Affiliates are expected to carry out their activities in a manner consistent with the policies and objectives of ASCD and the provisions of the Constitution. An affiliate failing to do so may be disaffiliated by a two- thirds vote of the full membership of the Board of Directors.*

In order to form an affiliate, ASCD protocol 502 states that the organization:

- Has operated successfully as an ASCD connected community for at least one year.

- Submits a constitution, in English, which is compatible with the ASCD Constitution.
- In its constitution and in practice, has no restriction on membership that requires potential group members to join ASCD or non-ASCD organizations to become a member or enjoy the full privileges afforded by the group.
- Includes “ASCD” in its name and clearly indicates status with ASCD in its printed and electronic material and on its website.
- Demonstrates a successful record of developing a diverse membership base, providing programs and services to the membership, governing effectively the affairs of the group, being financially viable, and supporting efforts aligned with the stated purposes of its constituent groups.
- Submits a business and financial plan that supports viability.
- Accepts a pre-affiliation visit from an ASCD staff member or designated representative.
- Signs an affiliation agreement with ASCD.

### **Affiliate Incorporation**

Procedures for incorporating an organization differ somewhat depending on your location. Generally, governments require:

- *Organization Charter*—a legal document that allows a corporation to do business within the state—may differ significantly between states.
- *Articles of Incorporation*—includes basic information about the organization and is the primary document needed to begin the incorporation process.
- *Incorporators*—persons who execute the articles of incorporation and apply for the state charter.
- *Registered Agent*—the person who receives legal documents on behalf of the corporation. If a corporation is being sued; the legal documents will be delivered to the corporation’s registered agent.
- *Adoption of Bylaws*—the internal rules of management and conduct for the organization’s members, including organizational structure, rights and duties of members, the group decision-making process, and a board succession plan.
- *Initial Organizational Meeting*—a meeting held to elect the first board of directors, pass bylaws, and conduct other incorporation business.

Incorporation can usually be accomplished in a short period of time, typically from one to three months.

You will then need to set up bank accounts to manage the financial resources of the affiliate. To do this in the United States, you will need to first obtain an employer identification number (EIN) by filing Form SS-4 with the Internal Revenue Service. This step is also necessary for withholding employee income tax once you hire and pay staff.

Obtaining an EIN usually takes no longer than 30 days. There is no filing fee. With your EIN in hand, you can establish banking accounts. Be sure you have the signatures on file of the two board officers who are required to sign all checks on behalf of the organization when setting up your accounts. If your affiliate is situated in another country, please check with the appropriate government agency in your location to determine your requirements for opening up an affiliate banking account.

Providing organization debit or credit cards for the executive director and the board president will insure easy payment of expenses and routine costs that are covered in conducting day-to-day operations on behalf of the board. All transactions executed by credit or debit card must be done within board guidelines, documented by original receipts, and submitted to the treasurer for proper accounting. Large purchases may require board

approval prior to transaction.

### **Affiliate Tax Exemption in the US**

Be aware that tax exemption is not automatic for nonprofit organizations. U.S. affiliates that wish to obtain tax-exempt status must file for approval with the IRS. There are various types of exempt organizations recognized in the Internal Revenue Code. Charitable organizations typically apply to the IRS to qualify as 501(c)(3) organizations, and, upon approval, receive a letter from the IRS confirming this status. Assurance that the organization has this letter is important to donors because it is the basis on which they can claim a tax deduction on their income tax. If your affiliate is situated outside the United States, please check with the appropriate government agency in your location to determine your requirements for achieving tax exempt status.

Small, tax-exempt organizations (i.e. those whose gross receipts are normally \$25,000 or less) are not required to file Form 990 (Return of Organization Exempt from Income Tax) or Form 990-EZ (Short Form Return of Organization Exempt from Income Tax). With the enactment of the Pension Protection Act of 2006 (PPA), these small, tax-exempt organizations are now required to electronically file Form 990-N, also known as the e-Postcard, with the IRS annually.

The IRS mailed educational letters in July 2007 notifying small, tax-exempt organizations that they may be required to file the e-Postcard. Non-receipt of the educational letter does not mean you are not required to file.

The PPA requires the IRS to revoke the tax-exempt status of any organization that fails to meet its annual filing requirement for three consecutive years. Therefore, organizations that do not file the e-Postcard (Form 990-N), or an information return Form 990 or 990-EZ for three consecutive years will have their tax-exempt status revoked as of the filing due date of the third year.

In addition to U.S. federal tax exemption, you may be able to file for exemption from state taxes, depending on your state of incorporation. The rules and procedures necessary to obtain state-level exemption vary, so it is best to contact your state bureau of taxation or revenue for specific information on how to meet the criteria for tax exemption in your state or hire a tax professional to help establish and maintain your organization's national and state tax-exempt status.

Many of ASCD's U.S. affiliates have chosen to be enrolled under ASCD's tax exemption status instead of seeking exemption status on their own. If you have not filed directly with IRS for tax exemption, you may be eligible to be covered under our group exemption if certain requirements are met. Please keep in mind that enrolling in the ASCD filing does not necessarily cover your state tax obligations; it is also separate from qualifying as a nonprofit organization through your state's incorporation requirements.

Following are the documents we will need in order to include you in the ASCD filing:

- Copy of organizing documents: Articles of incorporation, Charter, Bylaws
- National U.S. Identification number
- Letter signed by a principal officer verifying the relationship to ASCD and requesting inclusion in the ASCD Group Exemption filing
- Affiliate's official mailing address

If you have not filed for tax exemption directly with the IRS and would like to be included under ASCD's group exemption or if you have questions about this process, contact Dana Williams, ASCD Director of Finance, at [dana.williams@ascd.org](mailto:dana.williams@ascd.org).

## **Affiliate Budgeting**

Wise budgeting helps affiliates do the most with their funds. The size of an affiliate's budget is often related to the size of the membership. Membership is often related to benefits and services that members perceive as being worth their membership dues.

The budget is a plan for how the organization expects to receive revenue and spend it. In general, when making a budget, it's best to underestimate revenue and overestimate expenditures. This approach generally ensures fewer surprises during the budget year.

Sound financial policy suggests that your affiliate reserve 40 percent of its income annually to establish a cushion against unexpected expenditures. Maintain the funds in a savings or money market account to earn interest.

In general, your affiliate can expect to receive income from these areas:

- Membership dues
- Programs and services
- Conferences
- Products
- Interest
- Advertising
- Donations
- Sponsorships

Common expenditures fall under categories like these:

- Membership management
- Printing and mailing publications
- Programs and events
- Professional services
- Governance
- Management (executive expenses)
- These categories are divided into various functions:
- Fees and stipends
- Travel
- Printing
- Postage
- Awards
- Supplies
- Other miscellaneous operating expenses

Small affiliates with minimal expenditures and relatively low income can probably keep track of everything in a checkbook format. Larger or more active affiliates will require more detailed bookkeeping. Consider

outsourcing this service. Larger professional organizations may agree to handle the funds and books of an affiliate, sometimes for a low fee or at no cost.

A number of software programs are available to help you track everything electronically. The most popular is QuickBooks. It has a small learning curve for first-time users, but can be picked up fairly quickly. Special programs designed for nonprofits and simplified programs are also available. The biggest advantage to such a program is that you can easily set up reports to distribute to the board to provide an overview of every aspect of the budget.

### **Affiliate Board of Directors**

The affiliate board sets vision and policy for the organization; the executive director serves at the pleasure of the affiliate board to assist the president and the board in implementing the policies and procedures of the affiliate and running its day-to-day operations. The executive director serves as an ex-officio, nonvoting member of the board and is accountable to the board. The executive director should report to the regularly on the status of the implementation of board directives.

As the governing body of a nonprofit organization, the board of directors shares certain ethical responsibilities to the organization:

- **Duty of Care:** taking reasonable care when making decisions for your organization.
- **Duty of Loyalty:** acting in the best interests of your organization.
- **Duty of Obedience:** performing in accordance with your organization's mission.
- **Duty of Recusal:** standing aside when there is a conflict of interest.

Boards typically meet these responsibilities through certain major activities at specific times of the year, and the bylaws often specify when activities will be conducted. Activities can include: conducting regular board meetings, conducting board self-evaluation, evaluating the executive director, reviewing and updating board policies, strategic planning, recruiting new members, holding an annual meeting, fundraising, and reviewing and authorizing the yearly budget.

Consider these specific board functions:

#### **1. Generative**

- Building capacity for the present and the future.
- Creating and updating mission and vision statements.
- Determining programs and services.
- Approving the strategic plan.

#### **2. Fiscal**

- Ensuring adequate resources.
- Handling resources securely by requiring two signatures on all accounts.
- Establishing partnerships and promoting fundraising.
- Enhancing the organization's public standing.
- Advocating for the organization.

#### **3. Business**

- Preparing for and attending board meetings.

- Creating documentation to ensure institutional memory.
- Researching and discussing issues before decisions are made.
- Recruiting, replacing and orienting board members when a vacancy arises.

#### 4. Oversight

- Hiring and regularly evaluating the organization's executive director.
- Self-assessing the board's performance.
- Working with and supporting the executive.
- Overseeing strategic planning.
- Approving the annual budget and annual report.
- Approving contracts, grants and sponsorships.
- Conducting program evaluations.
- Maintaining accountability to ensure legal and ethical integrity.

The affiliate executive board generally consists of the president, president-elect or vice-president, past president, secretary, and treasurer. Your board may include other officers at your discretion.

Great boards don't just happen. It takes a lot of work to make a board effective. That work begins with selection of individual board members who have these certain characteristics:

- *Leadership*: the ability to see the big picture and to help create and, if necessary, reset strategy and policy to help the organization achieve its mission.
- *Stewardship*: the ability to serve and promote the interests and goals of the organization without forgetting the interests of the public and the organization's intended beneficiaries.
- *Experience*: an understanding of organizational governance and how it is carried out in the organization's structure and in its day-to-day operations.
- *Commitment*: the willingness to take the necessary time and effort to fulfill director responsibilities, including understanding strategic, financial and operational issues facing the organization, asking questions and following up as needed, and staying current on sound governance principles and working to apply them to the organization.
- *Collegiality*: the ability to work well with others and to show respect for the ideas and views of fellow board members and staff; the understanding that boards operate as a body.

#### **Affiliate Diversity**

Beyond these fundamental characteristics, affiliates typically seek diversity, including individuals representing a range of ethnic or minority groups, gender, and age, as well as diversity of background, experience, and ideas. As a guiding principle, your board should reflect the diversity of the population it serves. To help make sure your board recruits directors who reflect the diversity of your organization, annually review of the strengths and weaknesses of the existing board - including its diversity - so that future recruiting can focus on a cycle of continuous improvement. A diverse board is inclusive; no one feels isolated or alone.

Having a good understanding of a board's criteria for membership, and the specific reasons why the organization has selected you as a board member, can go a long way in helping you determine whether service on a particular board is right for you. Don't be afraid to ask. Understanding your role at the outset can help avoid misunderstandings that result when mutual expectations are not being met.

## **Elections**

As online communication becomes more dominant, it makes sense to give members an option to vote online. For several years, ASCD has conducted annual elections via electronic voting using a special system from an outside vendor that handles both electronic material and paper ballots. Your ability to hold online elections may be based on the requirements of the jurisdiction in which you are chartered. Some board bylaws provide for the board to vote to elect new directors, as well as members of the executive team. Be sure any changes in your elections processes are reflected in your bylaws.

The usual return of paper ballots is rarely higher than 10 percent of the membership and is frequently much lower, especially when only one candidate is running for election. In some cases, the ease of electronic voting has increased the turnout, but only slightly.

In either event, if you hold elections for members to select members of your board of directors, your affiliate should still offer a non-electronic voting option for those who do not have a computer or access to e-mail. This means mailing paper ballots to all members and giving them the option to vote online or return the paper ballot. Few affiliates have the funds to provide postage-paid envelopes, so the voter must pay postage to return the ballot. Again, if there is only one candidate on the ballot, many do not see the value in returning the ballot.

One way to improve ballot returns is to include a brief survey on the ballot document asking members about issues that are important to them, giving them more incentive to return the form.

With regard to internal campaigns and elections, please be aware that ASCD policy 309.1 stipulates that candidates for office and their supporters are prohibited from campaigning. This prohibition includes refraining from requesting the vote or support of ASCD members, either in person or in writing; refraining from distributing printed literature announcing or supporting candidacy; refraining from producing publications or displays highlighting positive qualities of candidates, whether or not ASCD candidacy is mentioned; and refraining from engaging in any organized effort to promote or enhance the candidacy of an individual, other than ASCD-organized candidacy forums at Annual Conference.

## **Committees**

Committees vary with the needs of each organization. Smaller boards may not need committees and may perform many of the functions mentioned below at the board level itself. However, fairly typical standing committees can include:

- *The Executive Committee*—empowered to act between board meetings if necessary, and sometimes with specifically delegated authority to act in particular areas on behalf of the full board. The make-up of executive committees will vary with the organization, but many such committees are made up of the board officers and committee chairs.
- *The Nominating Committee*—typically charged with finding and recommending new directors for board approval, but sometimes also charged with recommending officer and committee appointments, establishing criteria for board service, reviewing performance of existing directors, and providing orientation for new directors. Some affiliate nominating committees have taken on the additional role of reviewing and making recommendations on governance issues and otherwise playing a leadership role in shaping the affiliate's governance.
- *The Revenue Committee*—typically oversees the affiliate's fundraising process.
- *The Finance Committee*—typically assigned to provide detailed review of financial statements and issues, including budget, accounting, tax and investment issues, and (if there is no separate audit committee) audit issues.
- *The Audit Committee*—responsible for overseeing the independent audit process and for overseeing the

financial integrity and finance/accounting controls of the affiliate. The trend is for members of audit committees to be "independent" board members (i.e., with no significant financial or other relationship to the organization), and to have substantial financial expertise (i.e., experience in reading financial statements and at least one member with an understanding of accounting principles and practices). Audit committees and their membership may be legislatively mandated in certain states for organizations of a certain size. A CPA may be hired to conduct an audit review in place of the audit committee.

In addition to standing committees, many boards create ad hoc committees for particular, short-term projects. Typical examples would include a strategic planning committee when the organization's strategic plan needs updating, a facilities committee when new offices are needed, or a search committee when a new executive director must be identified.

Regardless of the role of standing or ad hoc committees, their effectiveness can be improved by making sure that each one understands its mandate. An excellent way to achieve this is to create written charters for each committee. Some organizations include these charters in their bylaws. Effective committee staffing by management can also help committees function more efficiently.

Committees must report all their activities to the full board so board members are aware of their work. Depending on the size of the board or the tradition of the organization, reports can be oral or written.

Affiliate boards frequently add people who are not board members to committees, either to broaden the expertise of the committee or to provide an opportunity for getting to know potential board candidates before nominating them for a director role. State law varies on whether such non-director members can actually participate as voting members.

### **Affiliate Planning**

ASCD bases its success on a strong vision and planning. Affiliate planning lays out a path for the organization that is visionary, generative, measurable, and covers a maximum of three years into the future.

Before you begin planning, it is recommended that you review the Affiliate Development Continuum (ADC) to consider your capacity building options. The ADC is a self-evaluation tool that allows you to gauge where your affiliate is currently functioning and what goals you may wish to target for affiliate growth and improvement in your plan.

Affiliate plans should include the following components:

- A mission statement for the affiliate
- Belief statements that describe the principles of the organization and what it sees as core values
- A vision that describes where the affiliate would like to be at the end of the plan
- Goals or objectives that express what the affiliate expects to achieve within the time frame of the plan
- Strategies that are specific actions the affiliate plans to take toward realizing its goals or objectives

A planning template is included in the appendix of this document. Your affiliate plan should be concrete, measurable, and realistically achievable within the time you have allotted for its completion. Future plans will build on the success of your current plan.

### **Affiliate Board Meetings**

Affiliate boards typically meet two to four times a year, including an annual retreat to plan for the coming year. Where regular board meetings usually take one day, the retreat can last several days. Meetings can be face-to-



face; by phone; or online using text, audio, and video. At a minimum, the board should meet at least face-to-face once a year, ideally at the retreat.

### **Affiliate Board Meeting Agendas**

Effectively planning board meeting agendas will ensure an optimal meeting experience for everyone attending. The meeting agenda is key in preparing for successful board meetings.

Typically, a board meeting agenda includes consent items, business reports and action items. Most importantly, though, is the time the board spends on generative discussion around the mission, vision and future of the affiliate. What is working? What needs to be examined and reconsidered? What new opportunities exist for capacity building? The generative function of your board is the most significant role it plays in the future of your affiliate.

The format of a traditional agenda generally follows this order:

- Call to Order
- Consent Agenda (items grouped together and handled as one item)
- Reports (general information on activities since the last meeting)
- Action and Items (specific topics listed for discussion by the board)
- Generative Discussion (exploring and vetting opportunities to build capacity)
- Adjournment

The board president should put together the agenda with assistance from the executive director. You may want to align each agenda item with one of the 5 ADP goal areas to ensure that your meetings address each. Helpful formatting of agenda items can assist in keeping your board meetings on task and on time:

- A description of each agenda item
- Identifying who will present the item
- Describing the action to be taken by the board
- Approximating how much time it will take to complete each item on the agenda Your affiliate bylaws should indicate how board decisions are made.
- An agenda item is brought up and briefly discussed.
- If there is an action to be taken by the board, someone makes a motion for that action.
- Someone else seconds the motion and then the pros and cons are discussed.
- Parliamentary procedure can be helpful for larger boards.

Certain items require a vote of the board, such as expenditure of funds, appointment or removal of personnel, or matters on which the board requires a specific record should be voted on.

The agenda, along with the minutes, should become an archived record of the board meeting. The agenda must include the date, time, location, and attendees of the meeting.

### **Affiliate Board Meeting Minutes**

Meeting minutes represent more than a record of meeting proceedings. Legal requirements dictate that they be prepared in a precise format. Furthermore, minutes are useful as guides for staff and volunteers, making it possible to determine precisely what decisions were made of certain matters at previous organization meetings. In the past, courts and other agencies have carefully studied the texts of meeting minutes when an organization's policies or programs were challenged for antitrust, tax, and other issues. To this end, minutes are necessary legal documents.

Consequently, those who draft the minutes should do so with the realization that the minutes may one day be examined in an investigation of the organization or used in litigation involving the organization. Thus, it is

essential that minutes accurately reflect what has occurred at an organization meeting and that they be written so as not to raise questions later about the propriety of what occurred. Meeting minutes can be of significant benefit to organizations if they are written as affirmative legal-compliance documents. If written properly, minutes can be the best evidence of conscientious legal compliance by the organization.

The following guidelines for preparing organization minutes are suggested by Jerald Jacobs, partner, law firm of Jenner & Block, Washington, D.C.:

- Minutes must indicate the place, date, and time of the meeting; the names of those attending; and whether or not any required quorum was present. The names of those absent may be listed.
- Include a statement indicating that the minutes of the previous meeting were distributed and approved either as written or as changed. Clearly note all changes to the minutes of the previous meeting.
- Prepare minutes by following a standard format—numbered sections and paragraphs coinciding with those of the meeting agenda (this organization will assist with future references).
- Describe each motion, report, or communication made at the meeting, and name the person making it. Note the action taken by the deliberating body in response to each item. The number of votes cast for or against an action should also be reflected in the minutes. *The various views expressed regarding each action, but not necessarily reflected in the final action, need not be recited in the minutes.*
- Actions of individuals or entities that were made on behalf of all those attending the meeting and that were made since the last meeting (such as actions of an executive committee) should be ratified at the meeting. The ratification should be reflected in the minutes.
- Written contracts—leases, insurance policies, and other formal agreements—may be approved at the meeting and recorded in the minutes.
- Whenever appropriate, minutes should include defensive statements about procedures the association has used to ensure legal compliance.
- If questions about the propriety of an organization matter are raised at a meeting, the minutes need to reflect the question, state that the matter was submitted for review by legal counsel, give the opinion and recommendations of counsel, and indicate whether the advice was followed.

Early drafts of meeting minutes, and notes or tape recordings made to assist in writing them, should *not* be retained in the organization's files or elsewhere once the final draft has been reviewed and approved.

Affiliates may publish board meeting minutes online as a way to inform all members of the board's actions. It also may encourage members to take a more active role in affiliate governance.

### **Ongoing Affiliate Evaluation**

At least once a year, the affiliate board should conduct a self-evaluation and member survey of its work. Ideally this data is collected prior to the board retreat and is used to inform and guide planning for the subsequent year. A sample board self-assessment tool is included in the appendix of this document.

## Professional Liability Insurance

Professional liability insurance protects and defends an organization against claims brought against it that are not protected by the organization's general liability policy. Whereas general liability insurance protects the organization from claims arising from bodily injury or property damage, professional liability insurance protects an organization against claims of professional damage and loss of revenue caused by an action of the defending organization. Claims typically falling in this category include the following:

- Plagiarism or misappropriation of ideas
- Infringement of copyright or trademark, or unauthorized use of title
- Libel, slander, defamation of character, or invasion of privacy
- Wrongful entry, eviction, or other invasion of the right of privacy
- False arrest, wrongful detention or imprisonment, or malicious prosecution
- Employment practices liability

The policy defends the policyholder even if the claim is groundless, false, or fraudulent.

A typical professional liability policy with a claim limit of \$1 million currently costs around \$1,000 annually.

Following are other types of insurance affiliates should consider acquiring:

- Commercial General Liability—provides coverage for damage claims of bodily injury or property damage. Most hotels and meeting facilities require general liability coverage as a condition of facility use.
- Workers' Compensation—statutory liability requirement under the Workers' Compensation Laws in your state. Coverage limits vary by state law. If your organization has no employees, this insurance is not necessary.
- Events Cancellation—indemnifies your organization against financial loss from an event resulting from an extraordinary occurrence.
- Commercial Crime—indemnifies your organization for losses of money or other property, real or personal, caused by fraudulent or dishonest acts committed by an employee.

These are not the only types of policies available, and not all of these insurance policies are necessary for every affiliate. Affiliates that do not have employees, for example, will not need workers' compensation or commercial crime policies. Use care when reviewing policy limits. Paying \$300 for event cancellation insurance for an event that is expected to net only \$3,000 is probably not a smart investment. Pay particular attention to policy exclusions; you wouldn't want to have paid premiums on a policy for years, only to discover that when you need it, the policy doesn't cover everything you intended.

## Conflicts of Interest

Specific national and state laws also may place responsibilities on nonprofit organizations. In addition, good corporate governance practices in the for-profit world are migrating to the nonprofit arena. For example, in the United States, the Sarbanes-Oxley Act of 2002 set new standards of governance for publicly traded companies. Many nonprofit boards adopt the generally applicable governance principles embodied in Sarbanes-Oxley, requiring the organization to have a process in place to protect whistleblowers and to establish policies for the retention of documents and to prevent their destruction in certain circumstances. To be in compliance with the spirit of Sarbanes-Oxley, be sure your organization

- Separates the duties of directors from those of the executive director and staff.
- Ensures that directors and their family members have no financial interest in the organization.
- Avoids any ethical conflict of interest.
- Has the board meet regularly without the presence of the executive director or staff.
- Provides for a finance committee and an audit committee.
- Includes a committee that regularly evaluates the performance of the executive director and staff and determines their compensation.
- Uses a nominating committee for identifying new directors.
- Establishes an ethics code or code of conduct for the directors and the employees.
- Provides protection for whistleblowers.
- Has a written document retention and destruction policy.

With your board, staff, policy, and practices in place, your nonprofit organization has a solid foundation upon which it can build a legacy of successful service to its membership.

## Investments

Former ASCD Chief Financial Officer Eric Bellamy shares this anecdote: “When I was just beginning my career in financial management, I received an unsolicited piece of advice from a professional elder: ‘Manage the money as if it were your own.’ This rather simple statement has served me well over the years. Having grown a little long in the tooth now, I am able to reflect back on how recalling this simple statement helped to clear the fog during many difficult financial decisions. However, such a statement doesn’t directly address all you need to do if you are responsible for managing your organization’s investments. Developing an investment policy with appropriate guidelines will help you to implement and maintain an effective investment process.”

A good investment policy goes far to eliminate the mystery from the investment process, and will also provide a written guideline for incoming financial officers, reduce officers’ exposure to potential liability, and generally minimize confusion. An effective investment policy should:

- Identify the purpose and goals the organization has for the funds to be invested—for example, to maximize return on temporary cash reserves or to provide funds for a catastrophic occurrence or long-term objective.
- Identify investment strategy—whether you will take an aggressive, conservative, or balanced approach.
- Identify the level of risk the organization is willing to assume—as a general rule, the greater the potential return, the greater the risk.
- Define responsibilities for all involved—board, investment committee (if there is one), staff, and fund manager.

Actual portfolio performance should be measured against the appropriate indices. If, for example, part of the portfolio is invested in equity securities, you might want to use the Standard and Poor’s S&P 500 for measuring this portion of the portfolio. Similarly, fixed instruments (e.g., corporate bonds, U.S. Treasury notes) should be measured against one of the bond indexes (e.g., Barclay’s Int Gov/Credit Index). Cash and cash equivalents should be measured against published interest rates with similar maturity dates.

You should also periodically review the investment policy. Markets and purposes change, and new investment vehicles appear all the time. Don’t be shy about modifying your investment policies and guidelines when it seems appropriate. Finally, remember to “manage the money as if it were your own.”

## Records Retention

Professional individuals, nonprofit organizations, and companies regularly need to shred or otherwise dispose of unnecessary and outdated documents and files. Like their for-profit counterparts, nonprofit organizations need to maintain appropriate records about their operations. For example, financial records, significant contracts, real estate and other major transactions, employment files, and fundraising obligations should be archived according to guidelines established by the organization.

A nonprofit organization should have a written, mandatory document retention and periodic destruction policy. Such a policy also helps limit accidental or innocent destruction. The document retention policy should include guidelines for handling electronic files, which have the same status as paper files in litigation-related cases. The policy should also cover back-up procedures, archiving of documents, and regular check-ups of the reliability of the system.

An association's record retention policy should ensure that documents are retained only so long as they are (1) necessary to the current conduct of the association's business; (2) required to be kept by statute or government regulation; or (3) relevant to pending or foreseeable investigations or litigation. Currently relevant documents should be filed systematically and accessibly. Documents that must be maintained permanently can be catalogued and, if possible, reduced to microfilm, microfiche, or electronic form for easy storage and access.

In the United States, the Sarbanes-Oxley Act addresses destruction of litigation-related documents. The law makes it a crime to alter, cover up, falsify, or destroy any document (or persuade someone else to do so) to prevent its use in an official proceeding (e.g., national investigation or bankruptcy proceedings). The Act turns intentional document destruction into a process that must be monitored, justified, and carefully administered.

You should exercise great care in the storage and maintenance of all important records, ensuring that they are safe from fire and water damage, and that electronic files are appropriately backed up. For pertinent information in how document retention law is applied in your jurisdiction, please consult your state or provincial attorney general's office.

## Audits

There are two kinds of audits discussed in this section: program audits and financial audits.

### Program Audit

At the request of the affiliate, ASCD Constituent Services staff may conduct an audit of the affiliate program, which examines the generative, business, and oversight functions of your board. Although an affiliate audit can also include the traditional fiscal audit, it assesses the functionality of your affiliate with regards to

- Mission and vision
- Planning
- Capacity
- Personnel
- Policy
- Practice
- Operations
- Membership
- Communications and publications
- Programs, products, and services
- Influence and advocacy

As a result of an affiliate audit, you will receive concrete feedback on ways in which you function at each level of the Affiliate Developmental Continuum, with recommendations for next steps in leading your organization forward.

### Financial Audit

In carrying out its oversight responsibilities, the board should regularly conduct a financial audit that documents that the board's revenue and expenditures are being responsibly managed as good stewards of the affiliate's resources. This can be done through an internal audit committee appointed by the affiliate board. The committee should consist of three or more affiliate members who have no financial function on the board and are not affiliate staff members.

The audit committee should consist of individuals who are not compensated for their service on this committee and do not have a financial interest in or any other conflict of interest with any entity doing business with the organization. Most nonprofit organizations have volunteer board members. Nonprofit organizations that do compensate board members should not compensate audit committee members for their additional service. In addition, all nonprofits should ensure that no members of staff, including the chief executive, serve on the audit committee, although it is reasonable to have the chief financial officer provide staff support to the audit committee. The chair of the audit committee should be a board member and it is reasonable to expect that the majority of the committee members are board members.

The committee should guarantee that an adequate internal control mechanism is in place to ensure that the organization is:

- using generally accepted accounting methods;
- complying with applicable laws and regulations;
- providing reliable financial information; and

- operating effectively and efficiently.

More specifically, the internal audit committee should verify the following:

*Cash:*

- Ensure that all checks and cash are deposited to the affiliate checking account on a timely basis.
- Examine cancelled checks returned with bank statements, noting in particular whether the payee is appropriate for the nature of the expenditure, whether the endorsement is proper, and whether the expenditure is reasonable.
- Perform a general review of all bank statements for the year for any transactions that appear unusual.
- Ascertain that bank reconciliations are prepared monthly.

*General:*

- Confirm that an annual budget is prepared each year.
- Compare actual expenditures to the budget for the year, and be able to explain any significant variances.
- Compare financial documents from the current year to those from the previous year for reasonableness (i.e., if membership is increasing in numbers, you might expect to see a corresponding increase in membership revenue).

These steps represent minimal review procedures that every affiliate should be performing. Larger affiliates (e.g., those with a paid staff) would need to take further measures, including considering hiring an outside auditor to conduct the financial audit as an independent examiner.



## Building, Retaining and Engaging Membership

ASCD affiliates find strength through diverse backgrounds, experiences, and ideas. Affiliates strategically plan for membership growth, recruitment, retention, involvement, recognition, and diversity. Affiliates are encouraged to work collaboratively with one another and to align their work with the mission, vision, and goals of ASCD. The goal is for your affiliate to become the “must-join” organization for educators in your region. By providing a vibrant, engaging membership experience, affiliates can recruit and retain members who in turn add value to the affiliate organization.

ASCD is committed to promoting affiliate membership through an online affiliate directory, member referrals and the joint dues program. For affiliates participating in joint dues, when educators join the association, they are notified that there is a local affiliate that will enhance their membership and they are given the option to join ASCD and the affiliate concurrently. Affiliates participating in the program are compensated for these membership dues acquired online through the joint dues program.

Each affiliate may acquire sets of ASCD membership mailing addresses for affiliate membership and program promotions through the affiliate reporting site.

It is your responsibility to recruit new members in your geographic region for both your affiliate and for ASCD. We are partners in the recruitment of new members through the joint dues program.

### Membership Categories

ASCD and its affiliates do not have unified dues and membership. Members of ASCD are not required to be a member of the affiliate and vice versa. As a result, you might consider different membership categories for your organization. Although a single membership category is easy to administer and understand, different categories of membership may attract educators or special groups by employing a different dues structure and, in some cases, different benefits.

Information on current ASCD membership categories can be found on the [ASCD website](#).

An affiliate with different categories of membership and dues will have to choose a dues category for members to join through the ASCD joint dues program. ASCD will list one joint dues amount. Any other type of affiliate membership with a different dues structure is not eligible for this service. Most affiliates find this service to be helpful and rewarding to them and their members. Members make a single payment to ASCD to begin or renew membership in both organizations.

### Affiliate Reporting Site

The [Affiliate Reporting Site](#) allows affiliates access to selected ASCD membership and event information, including:

- Affiliate joint dues members.
- Current ASCD members in the affiliate region.
- ASCD members not participating in joint dues in the affiliate region.
- Registrants for ASCD conferences from the affiliate region.

Affiliate leaders log into the site using their ASCD username and password. All information accessed through the site is intended for internal affiliate work only. The information provided is confidential and should not be shared, sold, or published. For help in effectively utilizing the ASCD Affiliate Reporting site, follow the instructions in our 5 Steps to Success PDF guide.

## **Sharing of ASCD Member Email Addresses with Affiliates**

ASCD is pleased to offer you access to the e-mail addresses of ASCD members in your region via the affiliate reporting site. Only one leader from each affiliate is allowed access to ASCD e-mail addresses. If you are not the point person for ASCD e-mail addresses and would like to designate someone else in the affiliate as your official downloader, please let Constituent Services know as soon as possible.

Per the ASCD-Affiliate Email Sharing agreement, affiliates may download a new listing of ASCD members within the affiliate's region a maximum of four times a year. Affiliates must destroy the listing of ASCD member addresses once it has been used for one email distribution. This ensures a current and accurate listing of ASCD members is used each time, to keep ASCD and its affiliates in compliance with anti-spam laws. An affiliate must have a signed agreement on file in order to have access to the email addresses of ASCD members in their region.

Please contact your affiliate advisor as you have questions about this ASCD Affiliate benefit.

## **Affiliate Membership Database**

An affiliate membership database can be a powerful tool in recruiting, maintaining, and analyzing affiliate membership. You can start building your database on the data you receive from ASCD Affiliate joint dues reports. However, you should keep in mind that not all members will come to the affiliate through ASCD. Procedures should be in place to incorporate all members into the affiliate membership database.

Many commercial database programs are available. Some are in a spreadsheet format like Microsoft Office Excel, and others are in database formats, such as Microsoft Office Access. Both programs maintain membership records, but an association management system has more power and the capacity to organize more detailed information.

The basic format of a membership data file is important. In addition to basic demographic information, the data file should include database fields that help you learn more about your members. Some information to track would be:

- Unique identification or number for each member
- Type of membership, if multiple levels are offered
- Length of membership (note the join date)
- Dues renewal reminders and letters (note the renewal date)
- How a member found your affiliate (e.g., the ASCD joint dues program, conference registration, print pieces, website)
- Date of payment, batch number, and amount paid, for managing accounts and creating deposit reports
- E-mail addresses
- Cell phone and fax numbers
- Job role, for tracking diversity and identifying groups of expertise
- Committee or activity participation, for measuring engagement
- Conference and event registration

By tracking your data according to your unique characteristics and needs, your affiliate will run more efficiently and you will be able to respond more quickly and effectively

to member needs. You may not have the time or resources to create and maintain a membership database; consider contracting with another educational or state organization or service provider to maintain this information.

## **Building Membership**

The key to building membership is providing added value in belonging to your affiliate. What can you offer educators in your region that they cannot find anywhere else? The most important characteristics of highly valued member organizations are:

1. Being a trusted source for information, ideas and resources. Consistently providing access to high quality materials and professional experiences that cannot be found or equaled by other organizations.
2. Being responsive to member needs and inquiries.  
Personally welcoming members when they join, reaching out to them regularly in meaningful ways, and responding to their requests quickly.
3. Being highly visible on the education landscape.  
Actively participating in social media, asking questions, offering ideas, sharing information and resources, building a loyal following that identifies with you.
4. Offering leadership opportunities.  
Regularly seeking volunteers to serve on committees, assist at affiliate events, participate in discussions and facilitate affiliate interest locally.
5. Creating ongoing chances to network.  
Continually engaging membership to connect and collaborate through face-to-face and online interaction around high-interest professional topics.
6. Providing prestige, professional standing, and opportunities for advancement. Regionally developing a standard for excellence with which educators will want to be identified through membership and active engagement in affiliate leadership roles.

In addition, it is important to have an up-to-date, active online presence that is easy to find and use. You may use an affiliate ASCD EDge® social networking site as your official home on the web, and use other social media channels such as Facebook and Twitter for outreach and public relations messaging. You may also wish to have brochures and promotional materials in digital format that you can share with educators online. Be sure that such materials are in a common usable format such as PDF and that they are printer friendly in the event members and prospective members wish to use them in hard copy.

If you choose to mail hard copies of promotional materials, affiliates may acquire member data from the affiliate reporting site. By downloading the data and creating a mail merge in a word processing program, you can personalize and target the member recruitment letters. Some affiliates write letters to district superintendents, principals, and others in the education community who are not yet members. Their mailing information can be found in state records that are usually available in electronic format, as well, depending on the state. Because the number of educators in your region can be quite large, consider distributing information electronically whenever possible. For example, information online to your ASCD EDge affiliate group, to your affiliate Facebook page, or to your Twitter feed, can be an effective way of reaching both members and prospective members.

## **Retaining and Engaging Members**

The key to retaining and engaging affiliate members is to provide a responsive, valued membership experience. This experience can include programs, products and services that meet the immediate needs of your members. It is critical to provide ongoing, meaningful methods of interactive communication with your membership,

including face-to-face meetings, electronic communications, surveys, social media discussions and online meetings.

Assessment opportunities such as member surveys and evaluations offer an insight into affiliate program and service quality by allowing constituents to have a voice regarding their member experiences. Passive trend analysis such as low event attendance or a decrease over time in program participation can indicate member offerings are no longer meeting the needs of current membership.

When members are enthusiastic about the organization, they want to be active in its work. Your affiliate should provide opportunities for members to actively participate in leadership by serving on governing bodies, such as the affiliate board or affiliate committees. The more varied opportunities an affiliate can provide for members to actively participate in the organization, the more value members will see in belonging to your organization. Committee membership can serve as the first step in advancing to the board of directors or elected office in an affiliate's leadership. Each committee should report to an oversight body on a regular basis to ensure that it is functioning as intended to further the work of the affiliate.

### **Professional Development for Members**

Affiliates showcasing an active program of professional development offerings that address the needs of members and educators add value to their membership base as they fulfill their mission. Programs vary as affiliates have developed professional development delivery methods that have been found to work for their geographic areas. Sharing conference ideas and conference planning with other affiliates helps all to grow in their abilities to develop a conference based on member needs and interests.

Professional development events can be delivered face-to-face and online. A webinar is an expert presentation delivered online that invites members to participate from wherever they have an Internet connection. Members in attendance can ask questions and interact with others by text chat and by voice using a microphone. Similarly, an online meeting brings together members to discuss topics of interest and exchange ideas with one another using text chat and voice over microphone.

Conferences, workshops and professional development institutes are all options for offering professional development to members online or face-to-face. Depending on the affiliate, these events may range from less than a hundred registrants to several thousand. All professional development events, regardless of size, take much effort and planning.

A proven strategy is to offer professional development opportunities that offer certification credits or graduate hours through a university or your department of education. This adds value to participation that provides additional incentive for members to attend.

If your geographic area is conducive to collaboration, consider working with the neighboring affiliates to plan a regional conference that will fill needs of all members represented by affiliates in the region. One notable example is the Northeast ASCD Affiliate Conference. For more than a decade, ASCD affiliates in Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Ontario, Rhode Island, and Vermont work together to develop and present an annual conference in addition to each organization's individual offerings.

One of the advantages of sharing knowledge and experiences among affiliates is discovering speakers that other affiliates have used. A personal testimony can provide information on the details of the presentation and how the person was received. You can determine whether the speaker in question will address the issues and concerns of your Professional Development Institute. Feel free to share your experiences with speakers on the ASCD EDge® group for Affiliate executive directors.

## Communications and Public Relations

Having a clear, coherent communications plan is critical in the life of a thriving, vibrant affiliate. In the Web 2.0 era, the strategy for an organization’s web presence has shifted from static information transmission to that of a flexible conduit for collaboration. The goal is for your affiliate to become the go-to source for information by cultivating relationships with members and potential members that evolve and mature over time.

Web communications have changed over the past decade, from static delivery of content to an interactive sharing of ideas:

<b>Web 1.0</b>	<b>Web 2.0</b>
Static website	Interactive website
Heavy design	Light design
Communicate via forms and e-mail	Communicate via social media
Requires skilled webmaster	Everyone can contribute
Many pages of static data to maintain	Fewer pages with live data using RSS
HTML editor	Blogs, wikis, widgets
Upload via FTP	Updates in real time
Member-only areas	Self-subscription
Emphasis on original internal content	Emphasis on communal content

Today’s membership organizations can use a much lighter web presence for both outreach and engagement of current and prospective members, using interactive Web 2.0 technologies. An optimal affiliate is visible and active online, delivering original content and sharing access to resources that are of value to educators. Your online presence is an important tool for recruiting and retaining members, and promoting your affiliate brand and the ASCD brand.

### The ASCD Brand

The following guidelines are intended to help you effectively promote and protect ASCD branding. It is increasingly difficult for an organization to be noticed and remembered. The clutter, volume, and visual overkill of competing messages are overwhelming. As a result, more and more businesses are concentrating on developing a uniform, easily recognized “master brand” identity to communicate who they are to the public. ASCD is committed to developing communications strategies that strengthen our image and brand identity in the marketplace. A strong organizational identity is vital because that’s what the public recognizes, and it sustains their loyalty.

Benefits of consistent branding include:

- Quick public recognition of the ASCD look
- Heightened public awareness of ASCD and our mission
- Easier access into new target markets

- Differentiation from competitors

BUT PEOPLE OFTEN CONFUSE THE DIFFERENCE BETWEEN

## BRAND AND GRAPHIC IDENTITY



**Branding is about creating a customer experience.**

Our brand is what our customers *feel* about our organization, products, and services.

**Graphic identity is about the visual elements we use to help achieve that experience.**

Our graphic identity is how our customers *visually identify* our organization, products, and services.

Creating a graphic identity involves strategically and consistently applying our business image (logo, layout themes, fonts, colors, etc.) across all ASCD communications and all types of media to generate recognition in our target audiences. Identity is an important piece of the branding puzzle for most businesses and helps to enable positive customer response.

Branding encompasses all of the factors that create a perception of a company in the minds of the public. It not only includes design as part of the process, but also is driven by elements such as name and tagline, consistent messaging, public relations, market research, marketing strategy, and customer service.

It describes ASCD’s personality and what we do. For example:

- What ASCD is known for (excellent professional development, high-quality content)
- What characterizes ASCD (strong advocate for education, innovative ideas)
- How ASCD conducts its business (excellent customer service)

ASCD affiliates play an important role in helping to strengthen our brand in the minds of the education community. From always providing excellent customer service to creating high-quality programs, products, and services, we all make contributions every day. ASCD is also dedicated to staying in the public eye as an advocate for best practices. Everything we do has an effect on the public’s perception of ASCD and how they determine whether we are an organization with which they want to be associated.

Affiliates must prominently advise and communicate that any publication it may create, endorse, or publish is not an official publication of ASCD and ensure that any of its publications include a visible statement that its publication does not necessarily reflect the views of ASCD.

**Select one of these examples for use in your affiliate publications:**

*“Affiliate Name publications are not official publications of ASCD and the views expressed or implied in them should not be construed as official positions of ASCD.”*

*“This journal is not an official publication of ASCD and the views expressed or implied in it should not be construed as official positions of ASCD.”*

The ASCD logo is a registered trademark of ASCD and every ASCD product or advertisement for ASCD products or services must include the logo with the ® symbol at least once (usually on the back of the document or product or close to any copyright information printed with the document, such as on the back of a title page). Affiliate or other constituent group logos that incorporate the ASCD logo should not include the ® symbol and should not be registered as separate trademarks. Because of the way ASCD licenses its logo use with affiliates, if you were to register your new logo, you would be required to exclude the ASCD logo from the design.

Please note: In affiliate or other constituent group newsletters and on other products and services that include a logo that incorporates the ASCD logo, you should include the following statement in small print near the copyright notice, or at the bottom of a page in advertisements and other printed materials: “ASCD is a registered trademark of ASCD.” For more on trademarks, please reference the licensing agreement for affiliate logos.

ASCD’s official communications will use the Avenir font (primarily used by ASCD’s own graphic design staff). Arial and Times are commonly accessible alternate fonts. As a general rule, no more than 2 or 3 typefaces should be used in a layout—each with a contrasting style. Use of imagery has a profound effect on brand perception in the minds of our audiences. As such, it is crucial that imagery used for any ASCD communication piece reflect our educational values, professionalism and high-quality resolution.

ASCD offers the opportunity to order materials such as letterhead, envelopes, and business cards through a web-based order system used by ASCD. (The design of these items would include the revised logo but otherwise conforms to that of the ASCD organizational stationery and cannot be modified.) Groups can manage their own orders and billing as needed. Printing prices through this system reflect ASCD's volume discount. Information regarding the presentation of the ASCD logo is presented here:

*\*Please note that the ASCD logo file you will receive is a unique design that cannot be accurately reproduced with other typefaces. It must not be hand drawn, scanned, or modified in any way. It should be reproduced only from electronic files. The logo should never be altered or distorted in any way from the approved versions shown below:*



Never stretch or compress the logo or tagline. Always take special care when scaling these graphics to maintain exact proportions. Space constraints never justify altering logo proportions.



Do not resize the logo elements.



Do not resize the logo elements.



Do not stretch or compress the logo or tagline.



Do not stretch or compress the logo or tagline.



Do not rearrange the logo elements.



Do not recreate the logo with any other typeface.



Friends can help you make connections to members and prospective members, so that you target your audience and don't lose your focus on the more social aspects of the service. Here are some key strategies for using Facebook:

- Create a separate professional account for your organization.
- Be thorough in your profile contact information.
- Invite professional colleagues to connect as friends.
- Join like-minded professional groups.
- Post original content on your wall daily to establish your presence.
- Use messaging to send out information to all members of your group.
- Post events and invite friends to RSVP.

LinkedIn (linkedin.com) emphasizes making connections with like-minded professionals through the sharing of status updates, posting of recommendations, formation of professional groups, sharing of professional interests, and messaging through e-mail.

Because this service is connection-based and e-mail-driven, it is less prone to create uninvited distractions. Here are some key strategies for using LinkedIn:

- Create a personal account.
- Be thorough in your profile contact information.
- Connect with like-minded professionals.
- Create a professional group for your organization and invite your contacts to join it.
- Join like-minded professional groups and share messages through them.
- Post original content on your wall daily to establish your presence.
- Solicit recommendations from contacts and give recommendations in return.

### **Read-Write Media**

A read-write media web presence allows your organization to post original content and welcomes thoughtful responses from members and prospective members. Popular read-write media sites include Blogger and Wikispaces.

For each of these services, you create your own content and post it onto a web page or pages provided by the free service. This allows you to write digestible chunks of information and have it posted for public consumption without the worries of formatting or updating other content. Like social media sites, your account is password protected and you can log in from wherever you have an Internet connection. Each service offers the option of formatting your pages if you want to get more involved in the presentation of your posts. There is also the functionality to allow others to comment on your ideas, and in the case of Wikispaces, to edit and add to your ideas if you wish to offer that level of collaborative exchange. The challenge is to post on a regular basis so that followers can count on reliably keeping up with your thinking and experiences. Basic membership on these services is free, with some advertising used to offset costs. As a paying subscriber you can receive additional options and functionality, but a basic free account is all you need to create your online presence.

Blogger (blogger.com) is one of the easiest and most user-friendly blogging services online. Within a few quick clicks you can create your own web address for your blog, pick a standard template that creates a color scheme, and post your first blog message to kick off your messaging to your audience. There are a number of options, including completing your profile, inviting followers and turning on your blog's RSS feed which can be updated through the use of your Blogger dashboard. Here are some key strategies for using Blogger:

- Create a personal account.
- Be thorough in your profile contact information.
- Identify your organization in your profile.
- Post a new blog post at least twice a week.
- Select a theme for each post and develop it in three to five paragraphs.
- Invite others to follow your blog.
- Use RSS to share your blog posts on other websites.

Wikispaces (wikispaces.com) is a very popular wiki service among educators. By creating an account you can have your first wiki up and public in minutes. Wiki is Hawaiian for “easy.” Wikispaces makes it easy to post and format text so that it is protected from editing. It also allows others to log in, edit, and add content to your posts, making Wikispaces a place to not only post but also to collaborate with others in real time. You can add images and links to other web resources, and create multiple wiki pages that all link to each other like a traditional website. Here are some key strategies for using Wikispaces:

- Create a personal account.
- Be thorough in your profile contact information.
- Identify your organization in your profile.
- Post a new content that you would like to share with others on the main page.
- Create additional pages linked from the main wiki page.
- Post content on additional pages (questions, ideas, proposals) to which others can add.
- Over time, build a community of followers who collaborate on your wiki pages.

### **Content Management Systems and E-commerce**

A content media system allows multiple contributors to post items to website templates using the familiar “What You See Is What You Get” (WYSIWYG) word processing toolbar. Each contributor can be assigned to separate sections of the site, so that no one person is responsible for all site content.

Content management systems (CMS) are more sophisticated solutions than social media and read-write solutions, and they more closely approximate the breadth and depth of a traditional website. Unlike static websites of the past, however, content management systems have the ability to be dynamic and interactive, offering everything from surveys and registrations to members-only password-protected areas and e-commerce. They have a cost associated with their use, largely because they are so much more robust than a blog, wiki, or wall.

A CMS makes the need for a designated webmaster obsolete, because every staff member for your organization can have responsibility and control for managing their own section of the website: the executive director can post on a specific page, the membership chair on a separate page, the publications director on yet another page, and so on. Moving forward, 21st century organizations are seeking to hire new media specialists who can help facilitate all web and social networking tools in concert to provide effective branding and messaging online.

commerce (online sales) is an especially attractive feature of your web presence. Whether you are selling products, accepting payment for memberships, or accepting payment for upcoming professional development events, your members can log in, shop, pay, and have their purchases verified without your staff having to be involved in the transaction. Setup for e-commerce will incur up-front costs, but once everything is set you simply have an agreement wherein the merchant service receives a small fee for each purchase and the remainder of the transaction goes directly into your organization’s designated bank account. Over time, your sales can pay for the cost of your e-commerce solution.

Keep in mind that to accept credit cards online, in addition to having a secure website members can visit, you must have a merchant account and payment gateway. A merchant account is a bank account that accepts payments by debit and credit cards and serves as the agreement between your affiliate, the bank, and the payment processor for the settlement of credit and debit transactions. The payment gateway is the service that authorizes payments, replacing the physical point of sale terminal used when you are paying by credit card face-to-face at a store. Payment gateways protect credit card details by encrypting sensitive information, such as credit card numbers, to ensure that information is passed securely between the customer and the merchant and also between merchant and the payment processor.

For a comprehensive CMS and e-commerce solution, ASCD Constituent Services has identified [Wild Apricot](#) as the preferred solution for ASCD affiliates. These two services work seamlessly together to provide affiliates finance, business, membership, communications, web hosting, event and association management services. The more affiliates using these services, the larger the discount on pricing. Please contact your affiliate advisor to discuss the possibilities for your affiliate, and identify your requirements so that a customized suite of services can be identified that meets your needs.

### **Electronic Newsletters**

The way we communicate has changed dramatically in recent years. Electronic, instantaneous communication is now the preferred form of communication. Traditional printed and mailed correspondence is only necessary when handling formal correspondence regarding contractual, legal and financial matters, especially those that require original signatures and notarization.

Electronic communications are cheaper, faster, and more immediate. Full-color pictures can be included at little or no cost compared to a print format. Electronic newsletters are often divided into topics such as board news and actions, member news and recognition, local education policy updates, professional development opportunities and promotion of ASCD initiatives. The flexible format of an electronic newsletter allows an affiliate to provide in-depth content directly related to members' needs. Most electronic newsletters are archived on the affiliate's website and available for all users. Although such online access may allow a few nonmembers to take advantage of this member benefit, it serves as a membership recruitment tool that shows the depth of affiliate offerings.

The first step in developing an affiliate electronic newsletter strategy is to obtain member e-mail addresses. It is the responsibility of the affiliate to maintain its own membership database of accurate, up-to-date contact information. This is best done when mailing the annual dues renewal notice. Include the e-mail address on file with the mailing and ask the member to revise or update it if incorrect. Ask members who do not have an e-mail address on record to provide one. It is imperative that each affiliate maintain up-to-date membership records including accurate e-mail addresses.

If your affiliate would like to send your electronic newsletter within the body of member e-mails, companies such as Constant Contact ([constantcontact.com](http://constantcontact.com)) will provide the ability to do so using predesigned templates and the ability to manage your membership e-mail list within their system, including the ability for members to update their own e-mail address and unsubscribe, as desired, for a fee. In most cases, it is easiest and most cost effective to post your electronic newsletter on your website and simply send an e-mail to members giving the address to its location.

### **Electronic Journals**

Journals are a special type of publication that require more expertise and cost than other types, but they provide a great benefit to members and are another way to add value and retain members in the affiliate. Like affiliate

newsletters, today's journals are being posted online. Once you know how you will determine content, you need to design the layout and format of the journal or magazine. You will need someone in the affiliate who knows how to use publishing programs, and you will need a program that delivers your journal online in a user-friendly format. Another option is to use a commercial service to publish your online journal, such as Catstone Press (catstonepress.com). These services can turn your traditional ink-and-paper journal into an interactive online publication that simulates page-turning and allows the reader to zoom in and out of pages as desired.

If you choose to print and mail your journal, you will need to find a reliable and high-quality printer who can produce small quantities at a reasonable rate, as well as a mailer who can address the copies and deliver to post office for bulk mailing. Add to that the cost of postage and the total cost of production can be a major expense to an affiliate.

### **Other Publications**

Affiliates may produce other publications based on a topic of more immediate and general concern to members and educators. Depending on circumstances, such materials can also be reprinted in your regular publications. Many educators in the field write well on these special topics. In addition to providing recognition to the author, a special publication helps the affiliate demonstrate its support of these issues.

### **Sharing Your Publications**

You are encouraged to share your publications with ASCD and with other affiliates. The writers, editors, and publishers of affiliate publications can learn from one another ways to present and improve their own publications. Each affiliate has developed different approaches to communicating with members over the years and many continue to change. Add other affiliate leaders to your e-mail newsletter lists; these are easier to maintain than print distribution lists and usually cost no more than sending e-mail newsletters.

### **Electronic Mail**

Effective affiliates keep a database of current e-mail addresses for all members by including an e-mail address as a required field on member registration materials. Encourage members to use a personal e-mail address, as organization mailings are often blocked by school district e-mail spam filters and never reach the intended addressee.

Keep in mind that electronic mail response rates are much lower than that of membership mailings sent by your postal service.

You can acquire a list of ASCD members residing in your membership region through the affiliate reporting site. This member listing can include member street address mailing information for your use. ASCD often works with affiliates to send e-blasts to members in an affiliates region.

### **Printing**

You are encouraged to publish and deliver your publications online. However, if you can afford to print and mail your publications, you may choose to do so. Most printers can handle a four-page, folded self-mailer newsletter. Page count for any publication must be in multiples of four, and if it is a self-mailer, it needs to be folded again so that a space is available for postal address and mailing information.

Printers who handle large printing jobs lay out the publication so that it is printed on both sides of a 34" x 22" piece of paper, folded to 16 pages measuring 8½" x 11" then trimmed so that all pages open on three sides and bound (stapled) in the middle. You can get a better price for your publication by discussing your needs with the printer.

## **Mailing**

Of course, if you print your publications you will need to mail them to your membership. As a nonprofit organization, you may apply for a postal bulk mail permit to receive a lower postal rate. To mail anything at bulk rates, the mailing must have a minimum of 200 pieces. Unless you have software to print and sort addresses in the required postal format, it is usually best to work with a professional mailer, as well.

## Influence, Advocacy and Policy

As an ASCD affiliate, you have access to high-quality information and resources on education policy through our [Government Relations](#) unit. The goal is for your affiliate to become the “Go-To trusted voice” for ASCD positions and programs within your region. Local, state and federal governments make education policy decisions that affect your members. Be the go-to source for the critical information you can provide as an ASCD affiliate. Through our Whole Child and Healthy School Communities initiatives, ASCD’s policy positions and legislative agenda, the Educator Advocates program, ASCD’s quarterly policy publication Policy Priorities, and the Leadership Institute for Legislative Advocacy (LILA) Conference, you can establish your affiliate as the advocate for educators throughout your region. In addition to our policy work in the United States, ASCD is working with ministries of education and international organizations on behalf of educators worldwide, and we are looking for input and insight on working with affiliates outside the United States.

Consider including appropriate policymakers and legislators on your publications distribution lists. Affiliates who have been active in this manner are frequently sought out by policymakers for their expertise on local educational issues. Information on how to contact national, state, and provincial policymakers can be found in ASCD’s Action Center, and affiliate members are encouraged to speak out on specific issues of concern in their communities. ASCD Educator Advocates is another way your members can become engaged and participate in policy issues at the national level.

In the U.S., one of the most complicated and least understood areas of the tax law is the area of political and lobbying activities for non-profit organizations. Because the law is different for different countries, the focus will be on organizations exempt under United States IRS code. If your affiliate resides in another country around the world, please contact the appropriate government agency in your jurisdiction to determine what is permissible for your organization.

Organizations classified under IRS code section 501(c) (3) are permitted to lobby. However, lobbying activities cannot constitute a substantial part of its activities.

The IRS categorizes lobbying activities under two broad categories:

- Grassroots lobbying, which refers to attempts to influence any segment of the general public regarding legislative matters or referendums.
- Direct lobbying, which includes attempting to influence legislation through communication with legislators and other government officials, and the official actions or positions of covered executive branch officials through direct communication.

IRC code subsection 4911(2) defines legislation to include, “...action with respect to acts, bills, resolutions, or similar items by the Congress, any state legislature, any local council, or similar governing body, or by the public in a referendum, initiative, constitutional amendment, or similar item.” Administrative bodies, such as school boards, are excluded from the IRS definition of legislative bodies.

According to the IRS, a 501(c)(6) business league may further its exempt purposes through lobbying as its primary activity without jeopardizing its exempt status. However, a 501(c)(6) organization that engages in lobbying may be required to either provide notice to its members regarding the percentage of dues paid that are applicable to lobbying activities, or pay a proxy tax.

Examples of 501(c)(6) organizations include the National Association of Truck Stop Operators, Home Builders Associations, and local chambers of commerce.

Be sure to address influence efforts in your budget, meeting agendas, strategic plan, training requirements, and

other areas of affiliate business. ASCD has resources to help you. Since 2000, the ASCD Influence Grant program has supported a wide range of affiliate influence activities focused on education policy that align with the association's goals. The grants help build the advocacy capacity of ASCD's affiliates—whether they are in the beginning stages of their influence work or expanding their established advocacy efforts. The program is intended to facilitate affiliate commitment to ongoing influence through engaging their members in advocacy work, including ASCD's Educator Advocates program, and consistent and significant outreach to policymakers and the media.

Because there are limited funds available, the program will favorably consider grant proposals that promote policies supporting whole child education; demonstrate sustained advocacy efforts at the federal, state, local, or provincial levels; and help build other affiliates' influence capacity. ASCD will not consider applications that seek to use funds to attend the Leadership Institute for Legislative Advocacy.

ASCD works with affiliates to build a strong foundation to support sustainable grassroots efforts. We help affiliates become visible, respected sources of information regarding quality teaching and learning and proactive in shaping recommendations to improve education policy for the success of each learner.

## Programs, Products and Services

ASCD affiliates view their programs as opportunities to develop educators' capacity for learning, teaching, and leading and to fulfill their mission and goals. The goal is for your affiliate to become the “Go-To source” for providing programs, products, and services that help affiliate members shape policy, improve classroom practice, and affect student achievement. ASCD provides a number of tools and programs to help you achieve your goals.

### Program for Affiliate Sales Sharing (PASS)

The ASCD PASS program offers ASCD affiliates an opportunity to earn additional revenue. Through PASS, affiliates can earn income from new and returning business they generate for ASCD programs, products, and services. Affiliates are assigned a unique source code (PASS code), and each person that uses the affiliate codes when making an eligible purchase will be contributing to an affiliate's financial health, further enabling the affiliates to accomplish important work.

The table below lists the programs, products, and services that are currently available for revenue sharing under PASS. Purchases made with your affiliate's PASS code will generate a commission for your affiliate. On a quarterly basis, ASCD will send your affiliate a check that represents its share of revenue associated with the PASS code. To determine your affiliate's PASS code, go to the [PASS page](#).

Through the PASS program, the revenue share associated with ASCD programs, products, and services is as follows:

New ASCD memberships and membership renewals:	5%
ASCD conferences and professional learning events:	5%
ASCD books, videos, courses, and all other products:	2%

Affiliates must sign the PASS marketing agreement, in order to participate in the program. You learn more by downloading the PASS Toolkit on the PASS page.

### Affiliate Resale Program

An affiliate may order ASCD products (e.g., ASCD books, *Educational Leadership*, *Education Update*, DVDs) for resale at affiliate functions at a 40 percent discount off the nonmember rate. Profits gained from the resale of ASCD products should benefit the affiliate only.

There are two significant advantages for affiliates who purchase ASCD print materials for resale: (1) ASCD will bill the affiliate purchaser for the order so there is no immediate outlay of funds, and (2) affiliates may return any unsold material in resale condition to ASCD. You are responsible for the cost of return shipping.

When you call to order ASCD books for resale at affiliate functions, please remind the ASCD Service Center consultant to flag your order with “Source Code AFFIL.”

One thing to keep in mind about this program is that affiliates may only purchase ASCD products for resale at affiliate functions. The program cannot be used to sell materials through other marketing channels such as newsletter promotions, direct mail solicitations, or website features. Similarly, if an affiliate receives an order or phone inquiry to purchase materials, the purchase order or purchaser must be referred to ASCD's Service Center.

These program parameters, along with the billing and return provisions, are designed to support the purposes of the program while achieving a balance between affiliate and association interests.



### Steps for Success: Affiliate Resale Program

It is important to plan well ahead of time for ordering products for resale. It is the affiliate's responsibility to think strategically about when and how to optimally use this program. Successful sales require effective marketing and promotion of the opportunity and highly visible placement of the display of merchandise at your event.

Affiliate orders will be credited for all materials returned in a saleable condition within 30 days of the affiliate function for which the products were ordered. ASCD will determine if returned materials are in salable condition. If it is determined that returned materials are unsalable, the affiliate is responsible for their cost. If the materials do not arrive at the warehouse, your account will not be credited. All shipping and handling costs are the responsibility of your affiliate.

Steps for successfully using the affiliate resale program:

- 8 weeks prior - Determine the items and quantities needed.
- 6 weeks prior - Have the affiliate president or executive director/secretary place the order with the ASCD Service Center by calling 1-800-933-2723, then pressing To get the 40 percent discount, make sure you use the AFFIL account code. ASCD will bill you for the order. All shipping and handling costs are the responsibility of your affiliate.
- Up to 1 week after your sale, pack up the materials to be returned.
- Include a short memo with the affiliate name and location, the ASCD order number, the reason for the return (unsold materials), and the number of units in the package.
- Include a copy of the original shipping document or invoice that displays the ASCD order number. Ship the materials by UPS, insured mail, or some other method that allows for tracking of your shipment to:

ASCD Returns  
c/o PBD  
905 Carlow Drive  
Unit B  
Bolingbrook, IL 60490

### **Affiliate Library**

Each affiliate receives one complimentary Select ASCD membership each year (July 1–June 30). This membership is intended to provide ASCD books and materials to affiliates so that they can build their libraries and lending libraries. The library membership is issued in the name of the affiliate and you must request to have it renewed each year by e-mailing [wmckenzie@ascd.org](mailto:wmckenzie@ascd.org).

### **Promotional Materials**

ASCD affiliates and other constituent groups may request ASCD promotional materials to distribute to members at conferences, workshops, and other meetings. All requests should be submitted at least three weeks in advance.

It is the affiliate's responsibility to think strategically about when and how to optimally use these resources. It is important to plan well ahead of time for ordering materials.

Printed promotional materials available through ASCD's service center include:

- ASCD resources catalog
- ASCD book catalog
- ASCD professional development opportunities catalog

- ASCD membership brochure
- *Educator Advocate* brochures
- Copies of *Educational Leadership*

Steps for successfully requesting print promotional items:

- 8 weeks prior - Determine the items and quantities needed.
- 4 weeks prior - Have the affiliate president or executive director or secretary place the order through ASCD's Service Center by calling 1-800-933-2723, then pressing 2.
- 2 weeks prior - Promotional materials will be shipped free of charge via UPS ground service.

### **Authors Forum**

ASCD can help affiliates provide professional learning opportunities for educators in their geographic areas. The program aims to develop collaborative relationships between authors and affiliates and to involve affiliates in the community through the promotion of ASCD products, programs, and services.

How It Works:

#### Step 1

Affiliate leadership requests a participating author.

Please keep in mind we recommend that you plan at least six months prior to your event taking place.

#### Step 2

Constituent Services staff will work with you to confirm an author for your event. You will be provided with contact information for the author to discuss the plans for the day and plan the presentation.

All bookings are arranged directly with the author and no arrangements are finalized until both you and the author(s) have signed the contract(s).

## **Resource Speakers**

The ASCD Resource Speakers program was created to offer ASCD staff expertise to affiliates for affiliate board and affiliate membership professional development opportunities. Constituent Services will work with you to make the most of a resource speaker visit, planning a combination of board development, governance work, conference keynotes, workshops and concurrent presentations on topics specific to ASCD goals and initiatives.

ASCD assumes the full cost for sending a resource speaker to an affiliate for agreed upon work. Please make your request deally six months in advance of the date for which a speaker is needed, in order to begin the planning process with Constituent Services.

Steps for success for requesting a resource speaker:

It is important to plan well ahead of time to incorporate an ASCD speaker into an affiliate event. It is the affiliate's responsibility to think strategically about when and how to optimally use this program. Optimal use of resource speakers requires effective marketing and promotion of the event and highly visible placement of resource speakers at your event.

ASCD assumes the full cost for sending a resource speaker to an affiliate for agreed-upon work. As with all resource requests, please discuss your interest in a resource speaker with your assigned Constituent Services advisor prior to submitting a request.

Please submit your request at least six months in advance of the date for which a speaker is needed.

How it works:

- At least six months out, discuss your resource speaker needs with your Constituent Services advisor.
- At least six months prior to the date you would like to have a resource speaker attend your event, formally request a resource speaker emailing [wmckenzie@ascd.org](mailto:wmckenzie@ascd.org).
- Once you have completed your submission, Constituent Services staff will contact you with any questions we may have and to confirm that we have received your request.
- You will then be put in contact with the identified resource speaker, based on the needs you indicated in your request. Please be sure to provide your resource speaker with all the information he or she needs to make travel plans and properly prepare to successfully contribute to your event.

### **ASCD Staff Consultations**

ASCD provides the opportunity for staff consultation with affiliates to offer expertise in specific areas of value in affiliate work. Staff consultations are intended to help the affiliate think strategically in preparing to implement specific initiatives, such as Whole Child, public policy, communications, and survey construction. They are typically done through phone conference, e-mail, or virtual meeting.

Staff time and expertise is a valued resource. The affiliate should prepare for the staff consultation by gathering all the pertinent data and requirements that will likely be discussed. When possible, forwarding appropriate information and materials to the ASCD staff involved can help to facilitate a more successful consultation process.

Please submit your request at least two months in advance of your need for our staff expertise, to begin the planning process and allow for scheduling your request on staff calendars. Also, please note that all requests for an ASCD staff consultation are subject to approval based on scheduling and availability.

Steps for success for requesting a consultation:

- Discuss your staff consultation needs with your assigned Constituent Services advisor.
- Formally request a consultation by emailing Walter McKenzie.
- Please allow at least 8 weeks for scheduling. Your assigned Constituent Services advisor will work with ASCD staff to identify the best match of expertise to meet your needs and will work with you throughout the staff consultation process, facilitating the process to ensure that your needs are met.
- At the conclusion of your staff consultation, you will receive concrete recommendations to move your affiliate forward.

### **Complimentary Memberships**

ASCD offers two (2) complimentary Select ASCD memberships to an affiliate per year, to be given to prominent regional education officials in order to promote your affiliate presence within your area. These memberships do not include ASCD voting rights.

These complimentary memberships are intended to promote the value of ASCD within your region. It is important to strategically identify key leaders within your state who you wish to engage in your affiliate program through these memberships. Keep in mind that these memberships are renewed annually on the date on which they were originally issued.

As with all resource requests, we encourage you to discuss your need for complimentary memberships with your assigned Constituent Services staff prior to submitting the request. Complimentary memberships are issued by request annually, whether you want to identify new recipients or you wish to renew one or both current recipients for an additional year. You will need to provide the full name, title and contact information for each individual receiving a complimentary membership. Complimentary memberships may be reassigned to the same individuals or to new education professionals at the time of renewal, at the discretion of the affiliate. To formally request a complimentary membership, please email Walter McKenzie.

## **ASCD Web Resources**

[Affiliate Reporting Site](#)

[ASCD](#)

[ASCD Affiliates](#)

[ASCD Store](#)

[ASCD on Facebook](#)

[ASCD on Google+](#)

[ASCD on Pinterest](#)

[ASCD on Twitter](#)

[ASCD on YouTube](#)

[American Society of Association Executives](#)

[\(ASAE\) Authors Forum](#)

[BoardSource](#)

[Books and Publications](#)

[Conferences and Institutes](#)

[Connected Communities](#)

[Educator Advocates](#)

[Emerging Leaders](#)

[Globally Competent Learning Continuum](#)

[Governance](#)

[Government Relations](#)

[Leader to Leader \(L2L\)](#)

[Leadership Institute for Legislative Advocacy \(LILA\)](#)

[Legislative Agenda](#)

[Membership](#)

[Online Learning](#)

[PASS Program](#)

[Permissions FAQ](#)

[Policy Priorities](#)

[Professional Learning](#)

[Professional Interest Communities](#)

[Research a Topic](#)

[Student Chapters](#)

[Vision in Action Award](#)

[Whole Child](#)

[Wild Apricot](#)

## **ASCD Affiliate Document Library**

[Affiliate Leader's Checklist](#)

[Affiliate Developmental Continuum](#)

[ASCD Affiliation Agreement](#)

[Affiliate Planning Template](#)

[Sample Executive Director Job Description – Compensated](#)

[Sample Executive Director Job Description – Non-Compensated](#)

[Sample Executive Director Contract – Compensated](#)

[Sample Executive Director Contract – Compensated – Abbreviated](#)

[Sample Executive Director Contract – Non-Compensated](#)

[Sample Executive Director Contract – Non-Compensated – Abbreviated](#)

[Sample Executive Director Work Plan Template](#)

[Sample Executive Director Performance Self-Assessment](#)

[Sample Board Evaluation of the Executive Director](#)

[Sample Board Performance Self-Assessment](#)

[Joint Dues Program Policies](#)

[Partnerships: Choosing the Right Fit](#)

[Social Media: Building Online Capacity](#)