

# **THE NEW YORK STATE FINANCIAL AID ADMINISTRATORS ASSOCIATION**

## **MANUAL OF POLICIES AND PROCEDURES**

### **INTRODUCTION:**

This New York State Financial Aid Administrators Association (NYSFAAA) Manual of Policies and Procedures consists of:

- The Constitution and By-laws of the Association, which are the authoritative documents of the Association and are considered part of this document. No policy or procedure may be written that is in conflict with the Constitution and/or By-laws.
- Policy and procedure statements for the Standing Statewide Committees.
- Policy statements covering miscellaneous events that routinely occur in the activities and governance of the Association, and the administrative procedures put in place to help implement those policies
- Descriptions of the awards granted to members and colleagues of the Association.

The NYSFAAA Executive Council has formally adopted the policy and procedure statements in this document. The procedural steps and all other text constitute approved courses of action for implementing each policy. Officers, committee chairs, etc. should strictly adhere to the policies, while treating the procedural sections as guidance to which deference should be given in policy implementation. Observance of the procedural sections should not take precedence over the proper implementation of policy.

Each year the Executive Council adopts a line-item budget for the Association. Because it is a “living document” the budget frequently changes throughout the year to meet the changing needs of the Association. Similarly, this Manual of Policy and Procedures should provide a reference for governing the activities of the Association and serve as a document for the Executive Council to periodically review and, as necessary, add, delete and amend.

Lastly, the official copy of this Manual is to be maintained by the NYSFAAA Secretary and published to the website. The responsibility for its up-to-date accuracy rests with this office.

## **THE EXECUTIVE COUNCILPERSONS:**

The Councilperson is the elected liaison between the region and the Executive Council. The duties of the councilperson may vary from region to region, but all councilpersons are expected to attend the Executive Council meetings set by the President. Each councilperson is expected to give a brief regional update and summary of activities at each meeting. This report will be posted to the NYSFAAA website just prior to each Executive Council meeting.

In the event that a Councilperson is unable to attend an Executive Council meeting, every effort will be made to recruit another Active Member of the Region to attend the meeting. That representative will have full voting rights and privileges (including executive session) for that specific Executive Council meeting.

The councilperson is a leader within his/her region and is expected to report to the region on the activities and formal actions taken in the previous Executive Council meeting. Further, the councilperson is expected to actively assist in the recruiting of volunteers for the regional and state committees within his/her region, and helps to ensure continuity between the state and regional levels of the Association. **All executive council members must maintain current status as Active Members of NYSFAAA.**

## **THE STATEWIDE COMMITTEE CHAIRPERSONS:**

The Statewide Chairperson is responsible for the operation of the assigned committee and has the authority to appoint committee members, submit/expend the committee's budget, and make decisions appropriate to the objectives of the committee. All Statewide Chairs are appointed by the president, except those chair positions specifically delineated in the policies and procedures. In the appointment of Statewide Chairs, the President will consult with the appropriate Officer (the Officer responsible for the committee), and make every effort to ensure all forms of diversity. The President may appoint or remove a statewide chairperson at any time during the organizational year, and may create ad-hoc committees at any time. Each statewide chairperson reports directly to one of the statewide officers, and the President and Treasurer are ex-officio members of the all statewide committees. **All Statewide Chairs and committee members must be current members of NYSFAAA. Exceptions may be made to this requirement to comply with other contractual obligations.**

The Chair is responsible for the preparation of the committee's budget. The committee budget should be submitted annually to the Finance and Budget Committee. The Executive Council will approve the annual expenditure. The statewide chairperson is expected to make periodic reports to (and otherwise have frequent communication with) the Statewide Officer responsible for the committee. The formal committee report should be submitted in written, electronic format and posted to the website prior to the Executive Council meeting. Further, the statewide chairperson will attend Executive Council meetings as necessary, and otherwise communicate directly with the Executive Council when the situation warrants.

The chair is responsible for submitting an annual report on committee activities to the appropriate Statewide Officer by September 1 each year. This report will be included in the annual report distributed to the membership at the annual conference.

## **STANDING COMMITTEES:**

### **AWARDS COMMITTEE**

**PURPOSE:** To select worthy recipients of Achievement, Service, and other awards established by the Association, and to prepare for the presentation of these awards at the annual conference. To assist the regions with the selection of regional service award recipients, and provide information about the regional awards to the membership at the annual conference.

#### **DUTIES:**

1. To solicit through various sources (i.e. mail, website, email) nominations for the various awards. Nominations are accepted year round and can be carried forward from year to year.
2. To set up a meeting in late spring/early summer to select from the award recipients.
3. Work with regional chairs to collect names and pertinent information of regional award recipients.
4. Order and secure the plaques for regional and state award winners prior to the annual conference.
5. Write and arrange for award ceremony and presentations at the banquet during the conference.

#### **MEMBERSHIP:**

1. Chair must be Active or Retired Member. Associate Member may serve as Co-Chair.
2. One member from each region, selected by the region.

**TENURE:** Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

**QUALIFICATIONS:** Committee members should be reasonably well-acquainted with the award criteria, and feel comfortable discussing relative merits of their colleagues throughout the state who may be nominated for these prestigious awards.

**APPROVED:** April 1998; April 2006, November 2006, September 2007

### **COMMUNICATIONS/WEBSITE COMMITTEE**

**PURPOSE:** To facilitate effective communication between the Association, the membership and the public; and to oversee and make recommendations for creating, publishing, and maintaining an up-to-date, comprehensive website.

#### **DUTIES:**

1. Make recommendations for website content and appearance.
2. Responsible for timeliness of information on the website.
3. Serve as the primary liaison with ATAC.
4. Serve as liaison for communicating website developments to the membership and bringing membership suggestions back to the committee.

5. Maintain a sufficient level of expertise in website purpose and capabilities.
6. Maintain an up-to-date familiarity with the NYSFAAA website.
7. Coordinate web aspects of on-line Registrations, on-line membership activity, sponsorship solicitation, and web payments.
8. To manage the creation of a periodic Web-letter (electronic newsletter).
9. Coordinate job postings to the website.

**MEMBERSHIP:**

1. Chair may be Active, Associate or Retired Member.
2. Members selected by the chair.

**TENURE:** Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

**QUALIFICATIONS:**

1. Familiarity with and access to the web.
2. Familiarity with the NYSFAAA website.
3. Awareness of NYSFAAA purpose and goals.

**APPROVED:** April 1998; April 2006, November 2006, September 2007

**CONFERENCE COMMITTEE(S)**

**PURPOSE:** To plan, organize and execute all facets of the annual conference. There will always be more than one of these committees active at any time, planning in advance for upcoming conferences.

**REPORTS TO:** 2<sup>nd</sup> Vice President

**DUTIES:**

1. Investigate and recommend conference site and submit recommendation to executive council for review and approval.
2. Plan all sessions (breakout and general) including scheduling, room assignments, speakers, presenters, moderators, etc.
3. Negotiate meals, breaks, and other logistical details with the hotel/site, including menu selection and prices.
4. Propose a tentative conference budget, attendance estimate and conference fee to the Council at least one year prior to the conference.
5. The fee recommendation, together with support information, is made by the Conference Committee Chair.
  - a. The basic financial objective is that the annual conference should produce a modest profit.
  - b. The registration fee decision should be made no later than the February meeting of the Council.
  - c. There will always be a comprehensive fee for the conference. In addition, a daily fee may be useful. Care should be exercised, however, so that a daily fee does not reduce comprehensive fee registrations.
6. Plan all ancillary business and social activities.

7. Handle the printing and distribution of all conference promotional and registration materials.
8. Arrange and manage the registration desk activities.
9. Liaison, as necessary, with hotel, sponsors, vendors, Development Chair, etc.
10. Present final written conference report to Executive Council no later than the February meeting following the conference.
11. Use and update the Conference Planning Manual.
12. Other duties as necessary to insure a successful conference.

**MEMBERSHIP:**

1. Chair is an Active or Retired Member selected by the host-region(s) with the approval of the President and Council. Associate Member may serve as Vice-Chair,
2. Other members, as necessary
3. Statewide Officers, ex-officio

**TENURE:** From the initial proposal phase through the conference, and until final reports are presented and approved by executive council.

**QUALIFICATIONS:** Experience on a conference committee or other regional activity is preferable.

**APPROVED:** July 1993; June 2005, November 2006, September 2007

**DEVELOPMENT COMMITTEE**

**PURPOSE:** To be responsible for the fundraising activities of the Association.

**REPORTS TO:** Treasurer

**DUTIES:**

1. Prepare an annual development plan and fundraising goal for Council approval.
2. Prepare necessary development information.
3. Establish a comprehensive listing of potential sponsors and donors.
4. Coordinate the solicitations of sponsors and donors for all NYSFAAA monetary and in-kind donations and other approved support activities.
5. Act as liaison between donor and the relevant Association committee (Webletter, Membership, Conference, etc.).
6. Assure that sponsors and donors are thanked for all contributions of behalf of the Association.
7. Advise the Treasurer regarding billing and collection of pledged donations.

**MEMBERSHIP:**

1. Chair may be any member of the Association.
2. Three or four other members, as necessary, appointed by the Chair.

**TENURE:** Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

**QUALIFICATIONS:**

1. Experience in fundraising or other development activities is helpful
2. Experience working within the governance structure of NY SFAAA is helpful.
3. Grant writing experience desirable.

APPROVED: July 1993; June 2005, November 2006, September 2007

## **DIVERSITY COMMITTEE**

**PURPOSE:** To encourage and support the active involvement and professional development of members from under-represented groups in the Association, and to assist these members in growth toward leadership positions within the Association. (B) To make every effort to collaborate with other standing committees to assist the Association in reaching out to diverse and under-served communities. (C) To ensure that the Association reflects the diverse membership, geographic regions, institutions, and students we serve in all aspects of the governance and activities of the organization.

### **DUTIES:**

1. Work with Regional Chairs and Regional Membership Chairs to identify under-represented groups within the Region.
2. Develop outreach strategies to inform targeted groups about NYSFAAA activities.
3. Provide assistance and recommendations to the President/Committee Chairs for potential committee appointees which will enhance diversity.
4. Collaborate with Government Relations Committee on diversity related issues.
5. Assist the Early Awareness and School Outreach Committees in identifying and reaching out to diverse and under-served communities.
6. Work with Conference Committee on developing diversity related sessions.

### **MEMBERSHIP:**

1. Chair must be an Active or Retired member. Associate Member may serve as Co-Chair.
2. Eight Regional Coordinators selected by the Regions.

**TENURE:** Chair – Two year term coinciding with the terms of the statewide officers (renewable by the new President). Members – two years renewable.

**QUALIFICATIONS:** Commitment to the goals of diversity. Background in working with under-served populations desirable.

APPROVED: September 2007

## **EARLY AWARENESS COMMITTEE**

### **PURPOSE:**

1. To coordinate and implement the New York State Financial Aid Administrators Association (NYSFAAA) in a collaborative effort designed to provide an awareness of the availability of financial aid options to children and their parents.
2. To facilitate the activities concerning Early Awareness within the NYSFAAA regions.
3. Educate the public on the options available to save for college.
4. Coordinate with other Committees with similar missions.

**DUTIES:**

1. Serve as a resource on Early Awareness programs.
2. Act as liaison on coordinating programs with appropriate agencies.
3. Assist with regional activities, workshops, and initiatives.
4. Coordinate/collaborate with High School Outreach committee to ensure cohesive message and to eliminate duplication of efforts.

**MEMBERSHIP:**

1. Chair must be Active or Retired Member. Associate Member may serve as Co-Chair.
2. Eight Regional Coordinators, appointed by the Regions.

**TENURE:** Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

**QUALIFICATIONS:** Commitment to the idea of Early Awareness

**APPROVED:** July 1993; June 2005, November 2006, September 2007

**FINANCE, AUDIT AND BUDGET COMMITTEE**

**PURPOSE:** To serve in support of the Treasurer's accounting and recordkeeping functions, and to establish, present, review and recommend a fiscal year budget for NYSFAAA.

**DUTIES:**

1. To submit the annual budget to Executive Council at the annual summer retreat for discussion, modification, and approval.
2. To submit the approved budget to the general membership at the Business meeting during the Annual Conference.
3. To review the budget on an on-going basis to determine if adjustments should be recommended to Executive Council.
4. To review the Budget requests of any Committees of members during the year for assisting Council in any fiscal action.
5. To request that each Committee (30 days prior to the summer retreat) submit their Budget Request Form to the Budget Committee in order to prepare the Annual Budget.
6. To meet prior to the start of next fiscal year (July 1), review all requests, and establish the preliminary budget for Council.
7. To notify the Committee Chairs of their budget after the June Council vote.
8. To review the annual audit.
9. To review investment strategy.

**MEMBERSHIP:**

1. Chair – Treasurer
2. Three Active Members and one Associate Member, appointed by the Chair. Three Council members, President Elect, President, and Past President
3. All eight Regional Treasurers

TENURE: Chair – Two-year term coinciding with the terms of the statewide officers Members – one year renewable.

APPROVED: July 1993; June 2005, November 2006, June 2007, September 2007

## **ELECTION COMMITTEE**

Duties:

1. The committee is responsible for all statewide elections, including solicitation of nominations, preparation of a slate of candidates, presentation and control of the balloting process, and the reporting of election results to the membership at the annual business meeting.
2. The Committee is encouraged to present a ballot with 2 qualified candidates per position.
3. Provide support and technical assistance for Regional elections.

Membership:

1. Chair is the Past President or President-elect
2. Eight Regional Election Chairs

APPROVED: September 2007

## **GOVERNANCE COMMITTEE**

PURPOSE: The committee is to serve as an advisory committee to the Executive Council, and to manage the statewide nominations and elections process. The committee serves as an advisor to the president and the Executive Council and provides historical perspective on issues confronting the Association. The Committee is responsible for the Long Range Planning process, periodic review of the By-laws, and continuous monitoring the activities of the Association activities to ensure that the Association is acting within the Constitution and By-laws.

DUTIES:

1. The committee will review the By-laws to determine if changes are needed to keep the Association functioning efficiently and ensure that the fulfillment of the Association' mission.
2. The committee must review the organization, committee structure and functioning of all entities to ensure that the Association is acting within the Constitution and By-laws.
3. When Constitutional or By-law changes appear necessary, the committee must draft a proposed new text and rationale for the Council to consider and approve.
4. Once Council has approved the changes, the committee must pass approved changes to the Secretary for appropriate membership vote.
5. The committee is responsible for developing, maintaining and annually reviewing the Association's Long Range Plan and reporting to Executive Council on the Association's progress toward the Plan goals at least once each year.
6. The committee is to provide support and serve as mentors during the transition period of newly elected officers as needed and requested by the President.

MEMBERSHIP:

1. Chair is the Immediate Past President.

2. Additional members selected by the Chair.

QUALIFICATIONS: All committee members are past Officers of the Association.

APPROVED: April 2006, November 2006, September 2007

## **GOVERNMENT RELATIONS COMMITTEE**

PURPOSE: To monitor government financial aid activities and to inform and educate the membership.

### **DUTIES:**

1. To develop and implement a plan to monitor federal and state financial aid activities.
2. To develop and implement a plan to inform and educate the membership on financial aid issues.
3. To track major federal and state financial aid initiatives and propose Association positions and methods of comment.
4. To recommend to Council adoption of policies for legislative and regulatory initiatives.

### **MEMBERSHIP:**

1. Chair must be Active or Retired Member. Associate Member may serve as Co-Chair.
2. Three to five additional members, as necessary, selected by the Chair.

TENURE: Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

QUALIFICATIONS: Significant experience with financial aid rules and regulations and an understanding of the federal and state legislative processes.

APPROVED: July 1993; April 2006, November 2006, September 2007

## **SCHOOL OUTREACH COMMITTEE**

### **PURPOSE:**

1. To coordinate and implement the New York State Financial Aid Administrators Association (NYSFAAA) in a collaborative effort designed to provide an awareness of the availability of financial aid options to students, parents, and school administrators.
2. Develop, promote, and implement activities of an outreach nature to students and their families concerning the availability of financial aid and the application process.
3. Educate the public on the options available to pay for college.
4. Coordinate activities with other committees as appropriate.

### **DUTIES:**

1. To coordinate a series of statewide workshops annually to educate school Counselors and other school employees concerning the availability of financial aid and the application process.
2. Develop and implement a training curriculum that meets the needs of new school counselors as well as experienced counselors.
3. To hold at least one statewide planning meeting with all regional representatives.

4. To coordinate a statewide and regional plan to promote awareness of the financial aid process among students and their families.
5. To work in a cooperative way with other entities to provide mailings, information, press releases, etc. to promote awareness of the Association's educational activities for high school students and their parents.
6. To assist, coordinate, and provide assistance to other Regional outreach activities such as forms workshops, TV/radio shows, public service ads, etc.
7. Maintain a database of informational presentations made by our members at high schools and "college fairs" across the State.

**MEMBERSHIP:**

1. Chair must be Active or Retired Member. Associate Member may serve as Co-Chair.
2. Eight Regional Coordinators, appointed by the Regions.

**TENURE:** Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

**QUALIFICATIONS:** Commitment to the idea of School Outreach.

**APPROVED:** November 2006, September 2007

**MEMBERSHIP COMMITTEE**

**PURPOSE:** To maximize the membership of the Association.

**REPORTS TO:** 1<sup>st</sup> Vice President

**DUTIES:**

1. Prepare an annual membership solicitation process, which is designed to maximize renewal of memberships and to attract new members.
2. Receive and process membership applications and dues and maintain the membership database.
3. Maintain sub-committees for specific interest groups within NYSFAAA as deemed necessary by current issues and concerns within those groups. (i.e. Graduate, Proprietary, Diversity, etc.).
4. Produce mailing labels, membership roster, etc. for Association approved purposes.
5. To review and verify that each member is correctly classified (Active or Associate) as outlined in Membership Policy.
6. Receive conference registration payments.

**MEMBERSHIP:**

1. Chair must be Active or Retired Member, preferably from among the eight current Regional Membership Coordinators, or with experience in that capacity.
2. Eight (8) Regional Membership Coordinators.
3. Up to five additional members, as needed.

**TENURE:** Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

**QUALIFICATIONS:** Commitment to working for the advancement of the Association.

**APPROVED:** July 1993; April 1998; April 2006, November 2006

### **MENTORING COMMITTEE**

**PURPOSE:** To encourage and support the active involvement of new members in the Association and to assist less-experienced members in growth toward leadership positions within the Association.

**REPORTS TO:** 1<sup>st</sup> Vice President

#### **DUTIES:**

1. Coordinate efforts statewide and regionally to assimilate new members into the Association.
2. Work with the Novice Training Committee and the Membership Chair to identify and contact new members.
3. Work with other Statewide Committee chairs to identify opportunities for mentees to serve on committees, and assist in connecting mentees to those opportunities.
4. To coordinate mentoring activities related to the annual Conference, including the awarding of Mentoring Scholarship(s).

#### **MEMBERSHIP:**

1. Chair must be Active or Retired Member.
2. Three to eight members selected by the Chair.

**TENURE:** Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

**QUALIFICATIONS:** An outgoing person with an interest in developing new members of the Association

**APPROVED:** April 2006, November 2006

### **NOVICE TRAINING COMMITTEE**

**PURPOSE:** To plan and implement all facets of the annual Novice Training Workshop

**REPORTS TO:** 2<sup>nd</sup> Vice President

#### **DUTIES:**

1. Identify the site for the annual training in conjunction with the President and Council.
2. Set dates and fees for the event with approval of Council.
3. Coordinate registration with Communications Chair and Membership Chair.
4. Recruit staff for the event.
5. Train staff.
6. Develop the agenda, training manual and training materials.
7. Act as liaison with the facility, novice staff, and Council

8. Prevent any commercialization of the workshop.
9. Other duties as necessary to ensure a successful event.

**MEMBERSHIP:**

1. Chair must be Active or Retired Member. An Associate Member with significant previous professional experience as a financial aid administrator may serve as Co-Chair.
2. Members (Staff) recruited by the Chair.

**TENURE:** Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

**QUALIFICATIONS:** Small group leaders must have extensive knowledge and at least five years of experience in financial aid administration at an institution of higher education. Large group presenters must have extensive knowledge and experience in the topic on which they will be instructing. Other staff must have extensive industry experience that is valuable to the workshop.

**APPROVED:** April 2006, November 2006, September 2007

**PROFESSIONAL DEVELOPMENT COMMITTEE**

**PURPOSE:** To provide, oversee, and coordinate statewide training and professional development opportunities for the membership and other higher education personnel.

**REPORTS TO:** 2<sup>nd</sup> Vice President

**DUTIES:**

1. Prepare professional development curricula and materials, as necessary.
2. Schedule training sites and dates. Professional development programs should be located centrally or be made available using the latest technology to maximize participation.
3. Disseminate training registration materials.
4. Collect registrations and forward receipts to the Treasurer.
5. Account to the Treasurer for all Committee expenditures.
6. Prepare a budget and recommend a fee as appropriate.
7. Coordinate awarding of Professional Development Scholarships for the Annual Conference.
8. All training participants must be members of the Association, except if the specific training event is designed to appeal to groups other than financial aid professionals (such as support staff, H.S. counselors, admissions officers, bursars, etc.). Membership shall not be required of such participants, although a fee may (or may not) be charged for participating in the event.
9. NYSFAAA members are not paid for conducting NYSFAAA training, although their travel expenses are reimbursed. The Council may authorize payment for trainers, as necessary, from outside the membership.
10. Membership is required for participation in Novice Training and the Annual Conference.

**MEMBERSHIP:**

1. Chair must be Active or Retired Member. An Associate Member with significant previous professional experience as a financial aid administrator may serve as Co-Chair.

2. Committee members selected by the Chair. It is recommended that at least one committee member be selected from each region, and that the committee be representative of all sectors (to the extent practical).

TENURE: Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

APPROVED: July 1993; August 15, 1998; June 2005, November 2006, September 2007

## **PROFESSIONAL ETHICS AND STANDARDS COMMITTEE**

PURPOSE: To create and maintain the Association’s Statement of Principles; and to create, maintain, and promulgate standards of professional and ethical conduct for the Association and its membership.

REPORTS TO: Treasurer

### **DUTIES:**

1. To review, at least once annually, the “Statement of Principles” and submit recommendations for any changes/revisions to the executive council.
2. To conduct a dialogue with various constituent groups within the membership about current ethical climate and issues, and develop recommendations based upon that dialogue.
3. To provide at least one session each year at the annual conference regarding an issue related to professional ethics and standards within the industry and/or the Association.

### **MEMBERSHIP:**

1. Co-Chairs – One Active and one Associate Member of the Association
2. Three to six Members, appointed by the Co-Chairs in consultation with the President.

TENURE: Co-Chairs – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

APPROVED: November 2006, September 2007

## **SCHOLARSHIP COMMITTEE**

PURPOSE: To administer the NYSFAAA Scholarship program.

### **DUTIES:**

1. Disseminate scholarship information and applications to all institutions of higher education in New York State.
2. To review all scholarship applications and select the recipient(s) of the NYSFAAA Scholarship.
3. To announce the scholarship recipient(s) and provide press release information.
4. To work with the Development Committee to maximize donations to the NYSFAAA Scholarship Fund.

**MEMBERSHIP:**

1. Chair may be Active, Associate or Retired Member.
2. At least four committee members appointed by the Chair. Ideally, the membership of the committee should include at least one representative from a public undergraduate institution, a private institution, and a proprietary institution. Consideration should also be given to broad regional representation. Associate members may also serve but may not comprise more than one-third of the committee membership.

**TENURE:** Chair – Two-year term coinciding with the terms of the statewide officers (renewable by the new president). Members – one year renewable.

**APPROVED:** July 1993; August 1998; April 2006, November 2006, September 2007

# **NYSFAAA POLICIES**

## **TREASURY ISSUES**

ISSUE: Acceptance of Payments and Donations:

**POLICY:** NYSFAAA will neither solicit nor accept any money, gifts or compensation, related to educational lending activities, from any entity described in S620(8)a (lenders/servicers) and/or S620(8)b (guarantee agencies) of New York State Education Law. The Treasurer and all other members of NYSFAAA will refuse any payment to NYSFAAA of any kind from such entities for such purposes.

**PROCEDURES:**

1. Payments from individuals of their own money for any acceptable NYSFAAA purpose or function are allowed under this policy, so long as such payments remain consistent with all other NYSFAAA policies and procedures.
2. Payment of membership dues and/or payment of participant fees for NYSFAAA activities by lending institutions (as defined above) on behalf of their own employees are acceptable under this policy.
3. Donations to NYSFAAA's training, outreach, and/or scholarship activities by any individual or entity are acceptable under this policy, so long as such donations remain consistent with all other NYSFAAA policies and procedures.
4. Donors to NYSFAAA will receive no business or marketing benefit from NYSFAAA as quid pro quo for their donations, but all donors may be acknowledged by NYSFAAA throughout the fiscal year.
5. If any member accepts any payment on behalf of NYSFAAA in violation of this policy, the Treasurer will immediately return the funds and report the breach of policy to the President and the Executive Council.

**The following language is on the home page of the NYFAAA WEBSITE:**

**The New York State Financial Aid Administrator's Association, Inc (NYSFAAA) does not receive any money, gifts or compensation, related to educational lending activities, from any "lending institution" as defined in S620(8)a and S620(8)b of New York State Education Law. Hence, NYSFAAA does not meet the definition of "lending institution" as defined in S620(8)c of New York State Education Law. Therefore, institutions of higher education in New York and employees of those institutions are not subject to any potential conflicts of interest or legal restrictions under NYS Education Law in their interactions with NYSFAAA.\* \* This statement does not constitute, and should not be construed as, legal advice.**

APPROVED: June 2007

**ISSUE: Annual Audit and Tax Returns**

**POLICY:** The Association's finances are to be audited annually by an independent CPA recommended by the Treasurer and approved by the Council.

NYSFAAA is incorporated in New York as a private non-profit organization. As such, it must file a federal non-profit tax return annually (Form 990 or 990T), if necessary.

There is no requirement to file a state income tax return. However, NYSFAAA must file a New York State Annual Report of Charitable Organization return (Form NYCD2A).

**PROCEDURES:** The Treasurer and auditor collaborate on the annual audit. The auditor prepares the federal and state tax returns as part of the annual audit process.

1. The Treasurer and auditor should begin the annual process by July 31 each year. The auditor will specify the information needed to conduct the audit. It will include at least the following:
  - a) A statement describing the sources of income and expenses for the year.
  - b) Copies of invoices and cancelled checks.
  - c) The Association checkbook and all other bank statements.
  - d) Reports on long-term investments.
  - e) Regional treasury reports.
2. The auditor will prepare a draft audit report and discuss, refine and finalize it in consultation with the Treasurer.
3. The Treasurer will prepare the annual financial statement to be presented to the membership at the annual business meeting, in conjunction with the auditor.
4. The auditor prepares the annual federal tax return as part of annual audit, and the New York State Annual Report of Charitable Organizations.

**APPROVED:** July 1993; April 1998; April 2006

## **ISSUE: Check Signing**

### **POLICY:**

1. The signature of the Treasurer is sufficient on checks up to \$10,000.
2. Checks above \$10,000 need authorization from the President.
3. No checks are to be written without documentation of the expense.
4. The President has check signing privileges in the absence of the Treasurer.

### **PROCEDURES:**

1. The Treasurer is responsible for paying all bills of the Association. Thus, the Treasurer collects and keeps all documentation (bills, travel, vouchers, etc.), enters amounts to the books, and prepares checks.
2. As necessary, the Treasurer needs to keep a copy of authorization letters from the President for checks of \$10,000 or more.
3. Checks written to the Treasurer require approval of the President.

**APPROVED:** July 1993; April 1998; April 2006

## **ISSUE: Credit Cards**

**POLICY:** The President, Treasurer, and President-Elect or Past President are authorized to have credit cards. The dollar credit limit is \$15,000.

### **PROCEDURES:**

1. The Treasurer manages the credit card records and pays bills.
2. Any card holder must give the Treasurer a monthly detailed accounting of all charges, in writing, and with receipts.
3. The Treasurer is to keep a written record of all his/her credit card charges for audit purposes.
4. Any card holder must turn in their cards when they leave office.
5. Balances are paid in full monthly. No balance shall be carried forward.
6. Periodic review by non-card holding Executive Committee officer.
7. Secretary is responsible for requesting credit cards.

**APPROVED:** July 1993; April 1998, September 1998; September 2005

## **ISSUE: Financial Reporting**

**POLICY:** The Treasurer is responsible for all financial reporting to the Association.

### **PROCEDURES:**

1. The Treasurer prepares a written and oral report for the Council meetings. Written reports to include: Balance Sheet, Budget Report, Investment Portfolio Value Report, Transaction Report are to be posted to the web-site and e-mailed to council prior to each Executive Council meeting.
2. The Treasurer prepares the annual audited financial statement for the membership. It is distributed in writing to the membership in advance of the annual business meeting and presented orally by the Treasurer at the annual business meeting.
3. The Treasurer is responsible for monitoring the budget and bringing to the attention of the Budget Committee emerging budget problems as early as possible.
4. The Treasurer sends each Committee Chair a budget request form for completion and submission.
5. The Treasurer chairs the Budget Committee
6. The Treasurer will make prompt payments of approved expenditures.

**APPROVED:** July 1993; April 1998; April 2006

## **ISSUE: Honoraria**

**POLICY:** NYSFAAA does not pay honoraria to NYSFAAA members or to other financial aid professionals (a financial aid professional is defined as someone eligible for membership in NYSFAAA or who would be if he/she lived in the state).

NYSFAAA will pay honoraria to presenters, speakers, and/or trainers who are considered experts in their respective field in order to enhance training sessions sponsored by NYSFAAA.

## **PROCEDURES:**

1. Planners of sessions should use aid professionals or others associated with NYSFAAA who will not expect or require an honorarium.
2. Any honoraria should be approved as part of the fee setting discussions by the NYSFAAA Executive Council or committee responsible for the activity.
3. Honoraria should include the speaker's travel and lodging expenses.
4. A written contract of expenses and fees must be signed by the speaker and approved by the committee chairperson before the Treasurer may remit payment.
5. The President, 2<sup>nd</sup> Vice President, or the committee chairperson responsible for the activity is the only arbiter of an honorarium contract.
6. Any payments to individuals require completion of a 1099.

The basis of this policy and these procedures is that NYSFAAA is a membership Association operated by volunteers. It is incumbent upon planners of any activity to seek out colleagues and associates who will also volunteer their expertise as professional contributions to NYSFAAA.

**APPROVED:** April 1998; April 2006

## **ISSUE: Incorporation, Private Non-Profit, Tax Exempt Status**

**POLICY:** NYSFAAA will maintain its status as a private non-profit entity incorporated in New York and with the IRS under code 501 (c) (3).

### **PROCEDURES:**

1. It is the responsibility of the Treasurer to see that the Association maintains its status. Therefore all fundraising/sponsorship activity must be processed through the statewide treasury.
2. As necessary, the Treasurer will work with the CPA to accomplish whatever filings are necessary to maintain the status.
3. Currently, the Association is permanently incorporated in New York as a private non-profit entity under 501 c (3).

**APPROVED:** July 1993; April 1998; January 2006

## **ISSUES: Investment Policy**

**POLICY:** NYSFAAA resources are to be invested to produce maximum income while protecting principal.  
NYSFAAA will attempt to build and maintain a reserve equal to the annual operating budget.

### **PROCEDURES:**

1. Resources are to be invested to yield substantially greater returns than are paid by typical passbook accounts. The investments do not need to be guaranteed or insured, but should be conservative and have a substantial history for reliability. Financial instruments such as

CD's with sound banks, commercial paper, money market funds and short term government bonds, mutual funds, and managed accounts are ideal for consideration.

2. Approximately one-third of the reserve should be invested in a liquid fashion so that the funds are available without penalty should they be needed in an emergency. The remaining two-thirds can be invested longer term if it will produce more income.
3. The Treasurer is responsible for estimating the cash flow needs of the Association and, thus, the amounts of money available for investment and the lengths of the investments.
4. The Budget Committee is responsible for approving the Association's investment strategy and should review and approve the strategy at least annually and more often if economic conditions warrant.
5. The Treasurer is responsible for implementing an approved investment strategy, seeking professional advice and assistance as necessary.

**APPROVED:** July 1993; April 15, 1998; April 2006

### **ISSUE: Invoices for Past Due Payments**

**POLICY:** The Treasurer is responsible for sending follow-up invoices on overdue payments for memberships, registrations, sponsorships, etc.

#### **PROCEDURES:**

1. NYSFAAA individual/committee members (i.e. conference registration, novice, VP membership) provide the treasurer with the unpaid invoices after 60 days. Regional Exec. Council reps. will follow up on outstanding invoices to members in their region before being invoiced by the Treasurer.
2. Treasurer will send follow-up invoices and officially record as accounts receivable.
3. The Treasurer, in coordination with the VP for Membership, will flag individual members with unpaid invoices to prevent them from registering/sponsoring any NYSFAAA event until all outstanding invoices are paid in full.
4. Unpaid bills should be presented to the Audit and Finance Committee at the end of the fiscal year for consideration of write off.

**APPROVED:** April 2006, September 2007

### **ISSUE: New York State Tax Exempt Status**

**POLICY:** NYSFAAA will maintain its New York State tax exempt status by complying with all pertinent regulations.

#### **PROCEDURES:**

1. The Treasurer is responsible for seeing that the Association maintains its New York State tax exempt status.
2. The CPA is responsible for filing necessary forms, reports, etc., to maintain our status, and for advising the Association of problems in this regard.

**APPROVED:** July 1993; April 1998

### **ISSUE: Refund, Registration Fee**

**POLICY:** Under certain circumstances, established by Council, the registration fee is refundable.

#### **PROCEDURES:**

1. The refund policy must be stated on the registration form.
2. The policy is that normally refunds are granted if requested in writing and the request is received at least two weeks before the first day of the event.
3. Under extenuating circumstances, such as illness, the two-week deadline may be waived. Such refunds may be authorized either by the Committee Chair or by the Treasurer. They may request whatever documentation they deem appropriate on a document. It is important that these officials consult, however, so there is consistent treatment of members each year and so that one does not approve a member who might be rejected by another officer.
4. Other members of the Council are not authorized to approve refunds.

**APPROVED:** July 1993; April 1998

### **ISSUE: Regional Training Funds**

**POLICY:** Each region may request funds to support regional training activities. \$1,000 per year will be provided to each region for a Support Staff Workshop and \$1000 per year will be provided for other training initiatives. Requests for funds over and above \$2000 will be considered on a case-by-case basis.

#### **PROCEDURES:**

1. The regional executive council representative will provide a written request for the automatic \$1,000 for support staff and \$1000 for general training. A copy of the budget for the training event must be included with the request and must show that the cost to the region will be at least the amount of funds requested.
2. Request for funds over and above the \$2000 must be made in writing to NYSFAAA Executive Council and voted upon in order to be approved. Requests must include a budget for the event and a copy of the regional bank statement indicating that the region cannot afford to provide the training without additional assistance.
3. Fundraising by the regions or through the regional treasuries is strictly prohibited. All donations/support must be made at the statewide level and processed through the statewide treasury. This allows the Executive Council to ensure the appropriateness of all fundraising, perform proper annual tax reporting and maintain accounting/internal control.

**APPROVED:** April 2006

### **ISSUE: Regional Treasurer Responsibilities**

**POLICY:** Each regional treasurer is required to maintain accurate and up-to-date records of all transactions which occur at the regional level. Quarterly reports must be provided to the NYSFAAA Treasurer along with copies of the bank statements. One to two regions will be randomly selected

by the auditor annually for a thorough and complete review of all records including receipts, cancelled checks and deposit slips.

**PROCEDURES:**

1. Regional treasurers must maintain current records with their bank of who is permitted as a signatory on the account (NYSFAAA Treasurer, Regional Treasurer, and Regional Chair).
2. Regional treasurers must provide the NYSFAAA treasurer with accurate records regarding their bank name, account number(s) and authorized signatories.
3. On a regular basis, the regional chairperson should review the bank statements, revenue and expenditures and initial and date his/her approval of all activity.
4. Regional treasurers must provide quarterly treasury reports and copies of bank statements to the NYSFAAA treasurer (Sept. 30<sup>th</sup>, Dec. 31<sup>st</sup>, March 31<sup>st</sup>, and June 30<sup>th</sup>). Annually one to two regions may be randomly selected by the outside auditor to provide all records, receipts, deposit slips, etc. for a thorough review by the NYSFAAA Treasurer and the auditor.
5. Regional treasurers must endorse all checks and sign "for deposit only". It is recommended that the account number be included, and/or that a stamp be used to endorse checks rather than a personal signature.
6. Regional treasurers must act responsibly and follow the mission of NYSFAAA and the guidelines of our incorporation as a 501(c)(3) tax exempt organization. Regions may not solicit sponsorship from vendors for support of statewide activities held at the regional level (i.e. CAAN, School Counselor, and Support Staff workshops).
7. Prepare and submit to the state Treasurer, an annual budget for state training funds.

**APPROVED:** April 2006, September 2007

**ISSUE: Revenue Sharing for Regions**

**POLICY:** It is NYSFAAA's policy to share revenue from membership dues with the regions.

**PROCEDURES:**

1. Checks are cut twice a year (January and June) and mailed to the regional treasurer.
2. The region receives **\$20/member annually (\$10 each member each in January and June)**.
3. Revenue sharing checks will be withheld from regions that are not up-to-date with required treasury reporting requirements.

**APPROVED:** April 2006, **November 2006**

**ISSUE: Signatory on Regional Bank Accounts**

**POLICY:** The NYSFAAA Treasurer must be listed as a signatory on all regional bank accounts as a check and balance to ensure reasonable access to all treasury records.

**PROCEDURE:**

1. Regional treasurers must obtain the necessary paperwork from their bank and have the NYSFAAA Treasurer sign and provide appropriate and required identification.

**APPROVED:** April 2006

## **ISSUE: Travel Expense Reimbursement**

### **POLICY:**

1. NYSFAAA members traveling on NYSFAAA business (e.g., Council business, committee business, training, workshops, etc.) are entitled to reasonable reimbursement of necessary and documented travel expenses according to regular travel reimbursement policies.
2. Mileage is to be reimbursed at the current IRS rate.
3. President will be reimbursed for travel to SUNYFAP, EASFAA, NASFAA and the NYSFAAA annual conference. If the President is unable to attend, the President –Elect or the Past President may represent the organization and will be reimbursed for travel. Participation in the annual conference by other NYSFAAA members is considered a professional responsibility.
4. Non-NYSFAAA members who are not eligible for regular membership in NYSFAAA are entitled to reimbursement of necessary and documented travel expenses for approved participation in official NYSFAAA activities.
5. Expense for reasonable room, transportation, meals and alcohol may be submitted.

### **PROCEDURES:**

1. Because of the travel expense involved in all NYSFAAA activities, committee chairs should minimize travel cost (i.e., use conference calls, schedule meetings centrally, schedule meetings in areas where more than one participant lives, schedule meetings well in advance in order to take advantage of low air fares).
2. The Treasurer is responsible for distributing travel reimbursement vouchers and the reimbursement expense rates and policies to all members of the Council, and committee chairs for distribution to their members.
3. All requests for reimbursement are to be submitted to committee chairs for counter-signature and to the Treasurer for payment. Committee chairs see to it that only legitimate expenses are claimed.
4. Reimbursement policies are to be explained by the committee chairperson to people being asked to serve NYSFAAA.
5. The President and Treasurer serve as arbitrators of reasonable expenses.

**APPROVED:** July 1993; December 8, 2000; April 2006

## **CONTRACT ISSUES**

### **ISSUE: Contracts**

**POLICY:** NYSFAAA has a number of regular contractual obligations, which are entered into according to the following policies:

1. The Treasurer recommends a contractual relationship with an auditor; the Council approves the contract and the Treasurer signs the agreement.

2. The annual conference site selection is handled by the President. The council approves the site, terms and conditions. The President signs the agreement after consultation with the association Attorney.
3. The site of the annual novice workshop is handled by the President. The Council approves the site and terms and conditions. The President signs the agreement after consultation with the association Attorney.
4. A number of minor contractual matters arise annually in planning the annual conference. The Conference Chair, as liaison with the conference Committee, is responsible for negotiating those ancillary arrangements and for signing the agreements for contracts under \$2000. Contracts over \$2000 should be signed by the President.
5. Other contractual matters that may arise from time to time should be brought to the President for discussion. At the President's discretion, contracts under \$2000 for previously budgeted expenses may be signed without Council approval.
6. Contracts for regional sponsored activities not exceeding \$2000 will be signed by a regional councilperson. Contracts exceeding \$2000 require the signature of the President.
7. No member of NYSFAAA has the authority or responsibility to contractually bind the Association except as noted above.

**PROCEDURES:** The necessary procedures are embodied in the individual policy statement above.

**APPROVED:** July 1993; April 1998; April 2006

### **ISSUE: Rooms, Complimentary**

**POLICY:** Generally, the annual conference hotel contract will include complimentary rooms as part of the package. Complimentary rooms are distributed according to the procedures outlined below.

**PROCEDURES:**

1. The Chair of the annual Conference Committee is responsible for assigning complimentary rooms in the following order:
  - a) The President should receive a complimentary suite, and during a transitional year, the incoming President-Elect will receive a complimentary room.
  - b) Any remaining rooms should be distributed to guest speakers whose rooms would otherwise be paid for by the Association.
  - c) If there are rooms remaining, the conference committee chair receives a complimentary room.
  - d) If there are rooms remaining, other conference committee chairs receive complimentary rooms.

**APPROVED:** July 1993; April 1998; April 2006

## **EXECUTIVE COUNCIL ISSUES**

### **ISSUE: EASF AA Representation**

**POLICY:** The President will assume the position of New York Representative to EASFAA at the June EASFAA retreat during the first year as President.

**APPROVED:** April 2006

**ISSUE: Executive Session**

**POLICY:** At such times as issues arise of a confidential nature including, but not limited to, legal issues or personnel issues, Executive Council may adjourn to Executive Session.

Procedures:

1. Any member of Council may request an Executive session.
2. Unless an emergency exists, Executive Sessions will be held in conjunction with scheduled Executive Council meetings.
3. Attendance at Executive Sessions is limited to elected members of Council or their duly appointed representatives and others as may be requested by Council.

**APPROVED:** April 2006

**ISSUE: Newly Elected Officers and Councilperson, Attendance at Executive Council Meetings**

**POLICY:** New elected officers and councilpersons begin their term of office at the annual conference.

These newly elected individuals should be invited to the council meeting scheduled immediately prior to the conference. Their travel, lodging and meal expenses will be paid by NYSFAAA.

At this meeting, a training session will be planned by the President of NYSFAAA to inform all newly elected council members of the policies and procedures that the council works under. They will also be educated on the expectations of their new positions.

The President should make sure a comprehensive agenda for this meeting thoroughly prepares the new members for their future responsibility. Clearly defining Robert's Rules, the reimbursement policy, how and why the council functions, and setting up the coming year's schedule, are just a few required items for the agenda.

Newly elected Officers shall be invited to attend the June and September meeting of Council following their election.

**APPROVED:** April 2006

**ISSUE: Notification of the President**

**POLICY:** It is recommended that the President of NYSFAAA be notified of any incident that occurs during a NYSFAAA sponsored activity that may result in either a moral, ethical or legal implication for the Association.

**PROCEDURES:** Notify the President by the quickest method available.

**APPROVED:** April 2006

## **SECRETARY ISSUES**

### **ISSUE: Reprint Permission**

**POLICY:** It is the policy of NYSFAAA to grant reprint permission, without charge, to authors and publications that contact us asking for permission to reprint.

#### **PROCEDURES:**

1. Any request for permission to reprint from NYSFAAA materials should be forwarded to the chair of the committee responsible for the materials, such as the Editor of the Webletter.
2. The responsible chair should write authorizing reprint permission, without charge, and cautioning the author/publisher that it is important to cite NYSFAAA as the source in the standard stylistic format.
3. The committee chair should copy the Secretary for the record.

### **ISSUE: Secretary Notifications**

When a change in officers occurs it is the responsibility of the Secretary to make the following notifications, as necessary:

1. The credit card issuer (President, President Elect, and Treasurer)
2. The bank that maintains our checking account (President and Treasurer)
3. The investment firm (President and Treasurer)
4. The auditors (President and Treasurer)
5. The attorney (President)

### **ISSUE: Trademark and Service Mark**

1. The Secretary will have responsibility to maintain our trademark. The trademark was registered in 2007.
2. A declaration of continued use and an application for renewal must be filed between the 5th and 6th years after the registration date (years 2012-2013).
3. A declaration of continued use and an application for renewal must be filed between the 9<sup>th</sup> and 10<sup>th</sup> years after the registration date (years 2016-2017).

4. In successive 10-year periods a declaration for continued use and an application for renewal must be filed between each 9<sup>th</sup> and 10<sup>th</sup>-year period after the date when the first ten-year period ends.

5. The Secretary must contact the U.S. Patent and Trademark Office approximately **one year prior to the deadlines listed above** to determine the requirements and fees for submission of the required filings.

#### **ISSUE: Supplies**

1. The secretary is responsible for maintaining the inventory of supplies (i.e. folders, pens, stationary).
2. Requests for those supplies should be made through the Secretary.

#### **ISSUE: Logos**

1. The secretary is responsible for maintaining the electronic format of our various 'Logo' reproductions to be used for publications and printing.

#### **ISSUE: Conference Call PINS**

1. The secretary is responsible for setting up iLinc conference call PINS for the various regional and state officers and state chairs upon request.

**APPROVED:** July 1993; April 1998, September 2007

### **MEMBERSHIP ISSUES**

#### **ISSUE: Dues, Annual Membership**

**POLICY:** Membership dues are established annually by the Council. Membership is individual, not institutional. If a member moves, his/her eligibility for voting membership remains as defined in the By-laws, he/she has the right to vote despite the fact dues may have been paid by a former employer. The person maintains membership status for the balance of that membership year. The membership year is from July 1 to June 30.

#### **PROCEDURES:**

1. Annual dues are not refundable or pro-rated and the statement should be printed on all forms soliciting membership dues.
2. Once paid, the membership is individual, not institutional, regardless of the payer of the dues. This statement should be printed on all forms soliciting membership dues.
3. Members may change their titles and/or institutional affiliation during the membership year, but must up-date database on website.

4. The Chair of the Membership Committee is responsible for implementing membership procedures.
5. Currently, annual dues are **\$50** and are paid either as part of the annual conference registration process or separately with the completion of the annual membership application.
6. Additional regional membership is **\$20**, in addition to the first dues of **\$50**.
7. Membership fee is never waived except for lifetime members.

**APPROVED:** July 1993; April 1998, **June 2007**

### **ISSUE: Membership**

**POLICY:** NYSFAAA will ensure that the membership is limited to those individuals who are actively engaged in (or retired from) student financial aid administration, and those others whose career interests are consistent with the Association's principles, values and goals.

### **PROCEDURES:**

1. The Vice President for Membership is responsible for creating and maintaining a membership application process/system that operates in a manner consistent with the NYSFAAA Constitution, By-laws, and this policy.
2. All applicants for membership shall be required to list their employer's name as part of the membership application process.
3. Members are required to notify the Vice President upon any change in employer. The Vice President will determine whether the individual's membership status is affected by the change.
4. Membership is limited to individuals employed at post-secondary educational institutions in New York State, retirees from those institutions, or employees of other entities approved by the Council.
5. The Vice President shall maintain a list (database) of all employers meeting the above criteria.
6. An applicant whose employer is not on the approved list shall be asked to provide the Vice President with a written request for approval by the council, which shall include an explanation of how the employer's values, goals and actions are consistent with those of NYSFAAA. The Vice President will distribute the request to the council by the following Council meeting, where discussion and a vote will occur.
7. Any elected member of the Council has the right to petition for a re-evaluation of a previously-approved employer. The Council member shall present to the Vice President a written request for re-evaluation by the council, which shall include a detailed explanation of why the Council member believes the employer's values, goals and/or actions are inconsistent with those of NYSFAAA. The Vice President will distribute the request to the council by the following Council meeting, where discussion and a vote will occur.

**APPROVED:** January 2006

### **ISSUE: Labels**

**POLICY:** It is NYSFAAA's policy to provide mailing information to all official NYSFAAA members.

**APPROVED:** July 1993; April 1998

## **PART IV – NYSFAAA SERVICE AWARDS:**

### **Father Joseph Dunne Service Award**

At the 1984 NYSFAAA Council Meeting, the members of that body voted to name at least one of the NYSFAAA Service Awards in memory of the late Reverend Joseph Dunne, C.M., former Executive Vice-President of Niagara University and a "founding father" of NYSFAAA.

Annually at the NYSFAAA Conference, one Achievement Award and at least one Service Award may be presented for outstanding achievement and service to the Association. In recognition of Father Dunne's longstanding service to NYSFAAA since 1968, the Executive Council's action places great emphasis on the tremendous role which he enacted as an aid administrator and spiritual aide for Association members.

The first NYSFAAA Service Award in the name of Father Dunne was awarded at the Uniondale Marriott conference site during the days of October 21-24, 1984.

### **Mr. Thomas Monahan Service Award**

Mr. Monahan served in the New York City Regional Office from 1969 until 1972 as a Program Officer. He represented Title IV programs in the years following the very first Higher Education Act of 1965 when those programs were in their formative stages. It was also a period of decentralization in HEW with few formal regulations. It was his ethics, integrity, and professional credibility that directed the FAO's of this state toward the purpose and intent of the legislation. Those were also the years when NYSFAAA was in its formative stages. Its first conference was in 1969 and Mr. Monahan represented the Office of Education. His emphasis on professionalism enabled the Association to embark on high standards and goals. He was also the principle trainer at NYSFAAA's first Novice Training Workshop in 1970 at Skidmore College.

NYSFAAA announced at its 18th Annual Conference in Saratoga Springs, New York, that a second Annual Service Award will be presented in memory of Tom Monahan, thus honoring his many contributions and his commitment to NYSFAAA.

### **NYSFAAA Founders Service Award**

The New York State Financial Aid Administrators Association was organized by a group of individuals with a vision. Their purpose was to advance the cause of financial aid, advocate for higher education, and provide a professional forum for the exchange of ideas. Their work and vision led to the development of this organization that we affectionately call NYSFAAA.

Annually at the NYSFAAA conference, service awards may be presented for outstanding achievement and service to the association. Beginning in 1991, in recognition and memory of those founders who gave of their time and vision, presents the NYSFAAA Founders Service Award. The Service Award will be a living memorial for the Association as the Executive Council will be charged with updating the roster of past members to which this award will be forever dedicated.

The first founder to be so remembered by this award was William Troy. "Bill" Troy was involved in the early development of NYSFAAA. He served as Corresponding Secretary, Regional Councilperson and Newsletter Editor. Moreover, he was friend and mentor to many financial aid professionals, acted as an advisor to explain the federal allocation formula for campus based funds, and trained many of our current members. Bill was especially proud of the number of financial aid professionals who worked under his tutelage and advanced to the position of director. After his retirement from SUNY College at Buffalo, Bill and his wife, Virginia, worked throughout the Buffalo area to help develop scholarships and endowment funds that allowed many students to further their education.

William Troy will be remembered as a NYSFAAA founder.

### **Sister Bernadine Hayes and Rusty Hopkins Service Award**

In October 2000, NYSFAAA established a new service award recognizing the significant contributions women have made to NYSFAAA (this association) by paying the highest honor to two of the most outstanding female members of our organization as chosen by our membership.

Sister Bernadine Hayes began her NYSFAAA career in the late 1960's while at St. Joseph's College in Brooklyn. She was actively involved in early Novice Training and Guidance Counselor Outreach. She served on NYSFAAA Executive Council from the seventies to the eighties and still provides her expertise as a member of the Department of Education with her customary style, grace and positive approach. In 1983 NYSFAAA awarded her a 15th Anniversary Recognition Award, and now a new NYSFAAA Award will bear the stamp of Sister Bernie.

Mary "Rusty" Hopkins was appointed as Assistant Dean of Students at Wells College in 1960. This led to her appointment as Coordinator of Financial Aid and charter membership in NYSFAAA. She was a member of the NYSFAAA Executive Council throughout the seventies and was actively involved in the Novice Training Workshop held at Wells for many years and was an exceptional role model and mentor for many. Her advocacy was also evidenced in her testimony before the NYS Senate and Assembly Committees. This new NYSFAAA Award will honor a leader whose work exemplifies the desire to assist others out of a sense of duty, rather than for personal gain, which typified Rusty Hopkins.

Starting in October 2001 at Ellenville, this award will be presented annually to a member who has provided continuing and outstanding service at the regional and statewide levels. Recipients of this award will be chosen for the quantity and quality of their service to NYSFAAA regardless of gender, race or national origin.

### **General Service Award**

Issued to NYSFAAA members based on service for those who advance the cause of NYSFAAA, and/or the advancement of the profession within the State of New York.

**Circle Award**

The NYSFAAA Circle Awards are awarded to outgoing executive council members as recognition and appreciation of their service on both a statewide and regional basis.

**Citation of Appreciation Award**

Awarded to members or non-members for general activities or singular functions which have supported the goals of NYSFAAA and/or have contributed to the welfare of its members.

**Presidential Appreciation Award**

These awards are issued to our outgoing presidents in gratitude for their diligent leadership and dedication on behalf of the Association.

**Special Recognition Awards**

An award to recognize individuals at particular milestones in their careers or the history of NYSFAAA, or for career services to this association and profession.

**Special Lifetime Achievement Recognition Award**

An award to recognize individuals who have distinguished themselves in their service to NYSFAAA and the profession in an exceptional way across a period of many years. This award carries with it a lifetime membership.