

**THE NEW YORK STATE
FINANCIAL AID ADMINISTRATORS ASSOCIATION, INCORPORATED**

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 Governance Committee or Executive Council to periodically review and, for the Executive Council to, add, delete and amend as necessary.

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

All executive council members must maintain current status as Active Members of NYSFAAA.

The Councilperson is the elected liaison between the region and the Executive Council. The duties and election 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.

THE STATEWIDE COMMITTEE CHAIRPERSONS

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 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 all statewide committees.

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 made available 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.

REPORTS TO: First Vice President

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 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 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, February 2012

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: Secretary

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 during the conference year.
 - 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.
 - d) A retiree fee for the conference should be established to cover the cost of meals only.
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. Arrange Executive Council meeting prior to conference and coordinate any Executive Council or Presidential functions.
13. 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. It is recommended that the Past Conference Chair be a member of the committee.

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, February 2012

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 on 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

ELECTION COMMITTEE

PURPOSE: To serve as the Association's election commission.

REPORTS TO: Immediate Past President or President Elect

DUTIES:

1. 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. Encouraged to present a ballot of no more than 2 qualified candidates per position.
3. Provide support and technical assistance for Regional elections.
4. Responsible for reporting election results to the Chair.
5. Responsible for the destruction of ballots following any election unless contested.

MEMBERSHIP:

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

APPROVED: September 2007, February 2012

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.

REPORTS TO: Treasurer

DUTIES:

1. To submit the annual budget to Executive Council at the annual summer meeting 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 meeting) 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 – An active member appointed by the President.
2. Three Active Members and no more than one Associate Member appointed by the Chair.
3. Three Council members, President Elect, President, and Immediate Past President.
4. Treasurer and Regional Treasurers – ex-officio

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, February 2012

GOVERNANCE AND ETHICS COMMITTEE

PURPOSE: The committee is to serve as an advisory committee to the President and Executive Council. It shall 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. It shall also provide historical perspective on issues confronting the Association. The Committee is responsible for the Long Range Planning process, periodic review of the By-laws and Policies and Procedures Manual, and continuous monitoring of the activities of the Association to ensure that the Association is acting within the Constitution and By-laws.

Note: The President of NYSFAAA shall be notified immediately of any incident or anything that might be considered to be or become an incident that occurs during a NYSFAAA sponsored activity that may result in either a moral, ethical or legal implication for the Association.

REPORTS TO: Immediate Past President or President Elect

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’s mission.
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.
4. 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.
5. 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.

6. Once Council has approved any Constitutional or By-law changes, the committee must pass approved changes to the Secretary for appropriate membership vote.
7. 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.
8. 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.
9. The committee will periodically review the Policy and Procedures Manual of the Association and recommend any proposed changes to the Executive Council for their action.

MEMBERSHIP:

1. Chair is the Immediate Past President or President Elect.
2. Three to six additional members selected by the Chair.

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

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

APPROVED: April 2006, November 2006, September 2007, February 2012, October 2012

GOVERNMENT RELATIONS COMMITTEE

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

REPORTS TO: President

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.
5. To assist the Council/President in the drafting of responses to current or proposed legislation and regulations.
6. To recommend, advocacy issues to the President and Executive Council, and assist with advocacy efforts where possible, to the extent limited by the constitution and bi-laws.

MEMBERSHIP:

1. One Chair, overseeing two subcommittees-chairs (State and Federal). All Chairs should

be Active or Retired Members. An Associate Member may serve as one of the Co-Chairs.

2. Additional members selected by the Chairs.

TENURE: Chairs – 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, February 2012, June 2018

GRADUATE AND PROFESSIONAL SCHOOL AND STUDENT CONCERNS COMMITTEE

PURPOSE: To identify and serve the needs of the Association members that work with graduate and professional students.

REPORTS TO: 2nd Vice President

DUTIES:

1. Work with the Conference Committee to provide Graduate and Professional session(s) for the Annual Conference.
2. Provide training for NYSFAAA members who work in graduate and professional institutions.
3. Solicit articles from graduate and professional school administrators for the NYSFAAA Connection Newsletter.
4. Survey graduate aid administrators on their needs and expectations of the committee.
5. Be able to identify NYSFAAA members who work in the Graduate and Professional sector for listserv purposes.
6. Keep abreast and inform membership of issues facing the graduate and professional population.
7. Work collaboratively with other NYSFAAA Committees to advocate for graduate and professional students in financial aid related areas.

APPROVED: June 2018

MEMBERSHIP COMMITTEE

PURPOSE: To maximize the membership of the

Association. REPORTS TO: 1st 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 an active or retired NYSFAAA member.
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, February 2012

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: 1st 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 the annual Novice Training Workshop

REPORTS TO: 2nd 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.
10. Provide final report and any recommendations to the Executive Council upon completion of the 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, February 2012

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: 2nd 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 may be 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, February 2012

GEORGE CHIN SCHOLARSHIP COMMITTEE

PURPOSE: To administer the NYSFAAA Scholarship program.

REPORTS TO: Treasurer

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, February 2012

SCHOOL OUTREACH AND EARLY AWARENESS COMMITTEE

PURPOSE:

1. To coordinate and implement the efforts of the New York State Financial Aid Administrators Association (NYSFAAA) in a collaborative means 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 save or pay for college.
4. Coordinate activities with other committees as

appropriate. **REPORTS TO:** Secretary

DUTIES:

1. To coordinate a series of statewide workshops annually to educate students, families,

school counselors and other school employees concerning early awareness, 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 advance planning and 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 all 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 schools and "college fairs" across the State.
8. Coordinate the Associations involvement with College Goal Sunday.

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 ideas of Early Awareness and School Outreach

APPROVED: November 2006, September 2007, February 2012, October 2012

TECHNOLOGY, INNOVATION AND COMMUNICATION COMMITTEE

PURPOSE:

1. To facilitate effective communication between the Association, the membership and the public.
2. To ensure that NYSFAAA remains current, relevant and connected by utilizing the most recent technological and innovative methods possible.
3. To assist the Association, its regions and its various committees and other constituents by providing technological means to assist with communication, information dissemination and training efforts.

REPORTS TO: 2nd Vice President

DUTIES:

1. Make recommendations and be responsible for website content and appearance.
2. Responsible for timeliness of information on the website.
3. Serve as the primary liaison with the web vendor.

4. Maintain a sufficient level of expertise in website purpose and capabilities.
5. Coordinate web aspects of on-line Registrations, on-line membership activity, sponsorship solicitation, web payments and job postings.
6. To manage on going communications via the website.
7. To investigate new and innovative approaches in conducting Association business utilizing the best available technology available in a low cost but effective manner.
8. Maintain catalog of available resources to be used in the delivery of services to the membership and its constituents.
9. Assist upon request, the regions, committees and membership in utilizing available technological and innovative resources whenever possible.
10. Training the membership as necessary in the use of technology.
11. Create and maintain an online instructional guide on the use of the tools available on the web for NYSFAAA Committee Chairs and appropriate others.

APPROVED: June 2018

MEMBERSHIP:

1. Chair must be active or retired member, Association member may serve as co-chair.
2. A blog editor may be appointed by the President in consultation with the chair(s).
3. Committee members selected by the Chair. Subcommittees for technology and web purposes may be funded. It is recommended that at least one committee member be selected from each region and that the committee be representation of all sectors (to the extent practical).

TENURE: Chair – Two year term coinciding with the terms of the statewide offices. (Renewable by the new president). Members – One year renewable.

QUALIFICATIONS:

1. Familiarity with and access to the web and/or technological innovation.
2. Familiarity with the NYSFAAA website and technological tasks.
3. Awareness of NYSFAAA purpose and goals.

APPROVED: April 1998, April 2006, November 2006, September 2007, February 2012, October 2012

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 functions 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. 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 NYSFAAA 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 the timely payment of 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, February 2012

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. The use of the credit card is for NYSFAAA business purposes only.

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, June 2018

ISSUE: Financial Reporting

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

PROCEDURES:

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 website and emailed to council prior to each Executive Council meeting.

1. 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.
2. The Treasurer is responsible for monitoring the budget and bringing to the attention of the Budget Committee emerging budget problems as early as possible.
3. The Treasurer sends each Committee Chair a budget request form for completion and submission.
4. The Treasurer chairs the Budget Committee.
5. 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 whenever possible, 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 in advance of the event and before the Treasurer may remit payment.
5. The President, 2nd 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, February 2012

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. The Association is incorporated in New York as a private non-profit entity under 501 c (3), proof of which is to be retained by the Treasurer and Secretary.

APPROVED: July 1993; April 1998, January 2016, June 2018

ISSUE: 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 Executive 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, a 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.

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.

3. 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. Up to \$1,000 per year may be provided to each region for a Support Staff Workshop and up to \$1,000 per year may be provided for other training initiatives. Requests for funds will be considered on a case by case basis without guarantee. Successful requests are contingent on documentation of need as well as the association's ability to fund.

PROCEDURES:

1. The regional executive council representative will provide a written request for the funds for support staff and 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 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. NYSFAAA's initial budget will include funding for this category as possible. This does not guarantee full funding
4. 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, February 2012, June 2018

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. 30th, Dec. 31st, March 31st, and June 30th). 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: Stale Dated Checks

POLICY: Checks issued by the Association but not cashed within a year's time will be voided.

PROCEDURES:

1. The Treasurer may send notices to the recipients of checks issued by the Association that have not been cashed from at least six months from their date of issue.
2. Any Association checks not cashed within a year of their issue will be voided and

appropriate accounting adjustments made.

APPROVED: February 2012

ISSUE: Revenue Sharing for Regions

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

PROCEDURES:

1. Checks are issued twice a year (January and June) and mailed to the regional treasurer.
2. The region receives \$10/member annually (\$5/ member each in January and June).
3. The amount of the check is based on the region's number of dues-paying members as of June 30th of the preceding year.
4. Revenue sharing checks will be withheld from regions that are not up-to-date with required treasury reporting requirements.

APPROVED: April 2006, November 2006, February 2008, February 2012

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.

PROCEDURES:

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, NASFAA and the NYSFAAA annual conference. Reimbursement for travel to EASFAA will be given to the current New York Representative at EASFAA. 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; August 2017

ISSUE: Postal Box

POLICY:

1. The Postal Box was established for return mail and for a 'recorded' constant address of NYSFAAA for IRS purposes and any other required official record.
2. The official address is New York State Financial Aid Administrators Association, Inc., PMB #320, 4736 Onondaga Blvd., Syracuse, NY 13219-3303.

PROCEDURES:

1. Each Treasurer must notify the UPS Store of her/his name and mailing address in order for the returned mail to be sent to that individual.
2. The contract agreement with the UPS Store is to be maintained in the Treasurer's file with a copy in the Secretary's file.

APPROVED: September 2008

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.
Contracts for regional sponsored activities not exceeding \$2000 will be signed by a regional councilperson. Contracts exceeding \$2000 require the signature of the President.
6. No member of NYSFAAA has the authority or responsibility to contractually bind the Association except as noted above.
7. The Office of the Secretary is the proper repository of all negotiated signed contracts with third parties. Examples of such agreements include, but are not limited to, hotel contracts, external grants, and insurance policies. Such documents must have both parties' signatures.

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

APPROVED: July 1993; April 1998; April 2006, February 2012

ISSUE: Rooms, Complimentary or Upgrades

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 as determined by the conference committee chair.

APPROVED: July 1993; April 1998; April 2006, February 2012

EXECUTIVE COUNCIL ISSUES

ISSUE: NYSFAAA Public Statement Policy

POLICY: NYSFAAA’s Public Statement policy is intended to ensure the association consistently presents clear and officially endorsed statements and positions on issues relevant to the organization’s mission. For purposes of this policy a “Public Statement” is defined as any verbal, written or otherwise implied communication made by a NYSFAAA officer, Executive Council Representative, or association member presenting an official (or perceived as official) NYSFAAA statement. The definition of “public release” includes public meetings, media and press releases, position statements on proposed legislation/NPRM and any other opinion communications to entities outside of the association’s membership. Any public statement not reviewed by the Executive Council shall not be presented as an official NYSFAAA statement.

The association’s Executive Council reserves the exclusive right to review and approve all public statements made on behalf of the organization prior to public release. The President has primary responsibility to speak on behalf of the association. When necessary the President, or Executive Council, may appoint other NYSFAAA members to make public statements on the association’s behalf. Members wishing to propose a NYSFAAA position on any issue relevant to the organization’s mission should contact an Executive Council member to bring it forward for the full Council’s consideration.

APPROVED: October 2018

ISSUE: NYSFAAA Member Conduct Policy

POLICY: NYSFAAA is committed to providing safe and productive environments for all events whether in-person or online. NYSFAAA prohibits discrimination based on race, religion, gender, gender identity or expression, sexual orientation, disability, ethnicity, national origin or any other protected status. It prohibits harassment or intimidation, including but not limited to unwanted sexual attention, stalking; whether physical or virtual, unsolicited physical contact or any behavior considered threatening.

This conduct policy applies to all persons participating in a NYSFAAA event and/or circumstances where the individual is representing the organization. Any violations should be reported as soon as possible to any member of the Executive Council. Participants should alert staff or security of the venue if any action is perceived as dangerous or a threat to safety or security of the attendees.

NYSFAAA reserves the right to remove anyone from participation in any event without warning or refund of fees should the alleged behavior violate any section of this policy. NYSFAAA also reserves the right to may refer the matter to any appropriate agency or law enforcement official.

APPROVED: February 11, 2019

ISSUE: EASFAA Representation

POLICY: The NYSFAAA President during the first year of office will assume the position of the New York Representative to EASFAA at the June EASFAA retreat. This term shall be for a two-year period as NYSFAAA President and Immediate Past President until a new NYSFAAA President has taken office and is available to assume the position the following June.

APPROVED: April 2006, February 2012, June 2015

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 for the council meeting will be paid by NYSFAAA.

At this meeting, a training session will be planned by the President or Past 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, February 2012

ISSUE: Parliamentarian

POLICY: The President of the Association shall designate a member of the Executive Council to serve as parliamentarian for meetings of the Executive Council to ensure adherence to the Roberts Rules of Order Revised and facilitate the proper functioning of Executive Council business.

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.

APPROVED: July 1993, April 1998

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)

APPROVED: September 2007

ISSUE: Trademark and Service Mark

1. The Secretary has the responsibility to maintain NYSFAAA's trademark. The trademark was last registered in 2016.
2. There is a 6 year Affidavit of Continued Use. The Due Dates are:
 - Earliest date can be filed:
Aug. 23, 2021
 - Latest date can be filed without paying additional fee:
Aug. 23, 2022
 - Latest date can be filed by paying an additional fee:
Feb. 23, 2023

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.

APPROVED: September 2007, June 2018

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.

APPROVED: September 2007

ISSUE: Logos

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

APPROVED: September 2007

MEMBERSHIP ISSUES

ISSUE: Dues, Annual Membership

POLICY: Membership dues are established annually by the Council. Council has the authority to offer prorated membership midway through the membership year. Membership is individual, not institutional. 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 \$70 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 \$25, in addition to the first dues of \$70.
7. Membership fee is never waived except for lifetime members.

APPROVED: July 1993; April 1998, June 2007, June 2008

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 or their retired status as part of the membership application process.
3. Members are required to notify the Vice President upon any change in employer or their retired status. 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, February 2012

ISSUE: Labels

POLICY: It is NYSFAAA's policy to provide mailing information to all official NYSFAAA members for the purpose of Association business only.

APPROVED: July 1993; April 1998, February 2012

ISSUE: Use of Images of NYSFAAA Members and Functions

POLICY: This policy is designed to address the use of images of NYSFAAA members that may be taken at various formal and informal NYSFAAA events. Generally, the use or display of such images in various NYSFAAA media is permitted without prior approval of the person where the person appears in the background of an image where he/she is not the topic in question or where they have actively posed for the image. In the case of a candid image where the person is of subject interest, permission to use the image will be assumed.

PROCEDURES:

1. The following should appear on all NYSFAAA membership and event registration materials: "In applying for membership or registering for events, I understand that my image may be obtained, utilized and retained for use in various NYSFAAA media".

ISSUE: Social Media

POLICY: All materials posted become the property of NYSFAAA and the right is reserved to remove any content that is deemed inappropriate. All sites must always clearly reflect NYSFAAA's mission and project a professional and proper representation of the association. Professional opinions and information sharing is strongly encouraged while personal communication is considered inappropriate. Posts should not show bias toward or against any political, parties, figures or institutions. Members should not post or discuss

information which is confidential, nor should they discuss private or personal information about themselves, their co-workers, or other members. Vulgarities, disparaging comments, intentionally made false statements, demeaning behavior, or anything that would be considered illegal or inappropriate is prohibited. Pictures posted to the site must be appropriate and adhere to the policy on the Use of Images of NYSFAAA Members and Functions.

PROCEDURES:

1. Members wishing to promote their committees, meetings and any other relevant activities utilizing social media should contact the social media administrators of the Technology & Innovation Committee.
2. Posts should be relevant to our profession, accurate and thoughtful of the audience. The administrators will not be fact checking.
3. No less than two members of the Technology & Innovation Committee will have access to all Social Media accounts. These members, or their delegates, are responsible to keep the sites up to date and respond to comments or questions on the sites. Other members of NYSFAAA are encouraged to represent the organization in a positive and professional manner via personal posts and responses.
4. A regular schedule of site review will occur at least every seven days.
5. The administrators shall remove inappropriate items immediately.

NYSFAAA SERVICE AWARDS

Achievement Award

These awards are based on nationally and/or regionally recognized. service to the student financial aid field and/or the significant advancement of the profession by individuals from the State of New York or elsewhere. Such candidates may include elected officials, agency representatives, education leaders, *or* NYSFAAA members.

Such activity may have the impact of expanding student resources, improving delivery opportunities or promoting the profession of financial aid administration.

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.

The George Chin Award for Excellence in Mentorship

George Chin was the ultimate Financial Aid Professional having worked in the field for his entire career. He was not only a leader of NYSFAAA but also of EASFAA, NASFAA as well as being an employee of the Department of Education. As CUNY Director for 26 years, George fiercely advocated to expand financial aid for all. He hoped that financial aid always maintained "fairness, equity and effectiveness" above all and worked hard to try to help all students get an education.

Mr. Chin was multifaceted and brilliant. He was always concerned about raising funds for students, fighting for legislation to ensure positive student results, and always making time to mentor his colleagues. Cultivating the next generation of financial aid professionals and student aid advocates was one of his several missions.

A mentor takes time to help the mentee reflect personally/professionally. A mentor is an experienced friend, confidant, and colleague who is there to provide guidance and support in any number of ways and situations. NYSFAAA is what it is today because of mentors like George who have paid it forward and continue to do so. George was the ultimate mentor. NYSFAAA will honor the lasting legacy of George Chin by establishing **The George Chin Award for Excellence in Mentorship** at the NYSFAAA's 50th Anniversary celebration in 2018. The George Chin Award for Excellence in Mentorship can be awarded to any NYSFAAA member who has contributed to the success and development of many peers in our profession, helped to enable access to college for numerous students, and in doing so has strengthened the future of NYSFAAA