

CAPFAA General Policies
April, 2012

I. Fiduciary Responsibilities:

- a. **Authorized Executives:** The President and Treasurer will each be authorized to conduct all banking functions on behalf of the Association.
- b. **Reimbursement:** The Treasurer will reimburse members for expenses paid on the Association's behalf when presented with a properly completed "Request for Reimbursement of Expenses" form. The corresponding sales receipt or invoice must accompany the completed reimbursement form. A reimbursement form completed by a committee member must be co-signed by the Committee Chair.
- c. **Expense Approval:** The Treasurer will approve all reimbursement of expenses, by signature, under \$2,500. The President and Treasurer must both approve, by signature, Association reimbursement of expenses of \$2,500 and above.
- d. **Association Funds:** Association funds will be kept in a minimum of two in-state banks, as determined by the Executive Council, with consideration given to not exceeding the FDIC insured deposit maximum at any one bank.
- e. **Association Accounts:** All Association accounts must be accessible on-line, through the bank, by the President, Treasurer and President-Elect. The President and President-Elect must verify the monthly transactions and outstanding balances of all accounts on a regular basis.
- f. **Insurance & Bonding:** On a yearly basis, the President-Elect will negotiate policies with a credible insurance company, or its agent, on behalf of the Executive Council. The President-Elect will bring the quotes for desired coverage to the Executive Council for final approval to purchase the coverage.

II. Nominations, Elections and Voting:

- a. **Authority:** Association nominations, elections and voting are presided over by the committee holding jurisdiction over that particular process. E.g. Nominations and Elections Committee, Constitution and Bylaws Committee, Executive Council, etc. A minimum of two committee members will oversee all aspects of voting.
- b. **Nominations:** Any active member of the Association may nominate themselves as a candidate for an open Executive Council position, except for the Associate Member Representative. Any member of the Association can nominate an active member as a candidate for an open Executive Council position, except for the Associate Member Representative, provided the nominating member has received the

permission of the member they wish to nominate. Permission should be documented, but does not necessarily need to be in writing.

Associate members can nominate them self as a candidate for the Associate Member Representative position. Any member of the Association can nominate an associate member as a candidate for the Associate Member Representative position, provided the nominating member has received the permission of the associate member they wish to nominate. Permission should be documented, but does not necessarily need to be in writing.

- c. **No Nominees for Open Executive Council Positions:** In the event there are no nominees named at the time of the Association vote the following policies should be followed.

- The President can ask for nominees at the annual business meeting prior to the announcement of election results. The nomination process will be the same as state in that policy. Should an eligible member or members be nominated and agree to the nomination, a vote by voting card will then be held for the particular position(s).
- Should no nominee(s) be chosen at the annual business meeting for any open position other than President-Elect, then Article VI, Section 3 of the Association By-Laws shall be followed. The President may appoint an incumbent for the open position(s) and present the name(s) for Executive Council discussion. The final determination of who will fill the open position will be determined solely by the President.
- Should no nominee(s) be chosen for the open position of President-Elect, then the position shall remain vacant until such time that a nominee(s) is secured. If a nominee(s) is secured at a future date then the Executive Council will follow Article VI, Section 2 of the Association By-Laws.

- d. **Write-In Candidates:**

- For all Executive Council positions active members can write in nominees on votes taken by paper or electronic ballot. However, the nominee must give the nominator and Chair of the Elections Committee written consent, either by email or paper, prior to the vote being taken.
- For the Associate member Representative, associate members can write in nominees on votes taken by paper or electronic ballot. However, the nominee must give the nominator and Chair of the Elections Committee written consent, either by email or paper, prior to the vote being taken.

- e. **Active Member Voting:** Each institutional member receives one vote and indicates on the membership application which FAA is their designated voter. If the designated voter cannot be present at the meeting where a vote will be taken, he/she must contact the secretary prior to that meeting to indicate which FAA from their institution will be voting, or provide the designated voter with written authorization to be turned in the day of the vote. ONLY the designated voter may appoint an alternate voter. If the designated voter leaves their institution, the institution should go on-line

and indicate a new designated voter. This change can be made by the Director of Financial Aid, the Interim Director of Financial Aid or next most senior member of the FA staff. This change must be done at least 30 days prior to the date of any vote.

- f. **Associate Member Voting:** Each associate member receives one vote and indicates on the membership application the voting representative from the organization. Associate members can only vote for the Associate Member Representative to Executive Council and may not vote on any other matters brought before the Association. If the designated voter cannot be present at the meeting where a vote will be taken, he/she must contact the secretary PRIOR to that meeting to indicate which FAA from their institution will be voting, or provide the designated voter with written authorization to be turned in the day of the vote. If the designated voter leaves their organization, the organization should go on-line and indicate a new designated voter. This change can be made by the next most senior member of the organization staff. This change must be done at least 30 days prior to the date of any vote.
- g. **Ballots by Web:** Web based balloting will be done through a third party service approved by the Executive Council. The service must be able to provide copies of each completed ballot, as well as, summary reports. Balloting information will be emailed only to the designated voting member and will include a user name and password for accessing the voting web site. The committee overseeing the vote will print all ballots and bring them to the event at which the results of the vote will be announced. Vote results are presented to the president who announces them to the membership. Ballots are retained until the results have been announced and a motion to destroy the ballots has been made and passed by the general membership. The oversight committee will be responsible for destroying the ballots by shredding.
- h. **Ballots by Mail:** The committee overseeing the vote will be responsible for mailing out ballots, with a self addressed return envelope, to all designated voting members. The ballot will include the voting member's institution and a return-by-date. Receipt by the return-by-date will be determined by the postmark on the envelope. Envelopes received by the return-by-date will be opened and votes tallied, by at least two committee members. Ballots received after the return-by-date will be kept with the envelope they came in and destroyed, at the appropriate time, along with all tallied ballots. Vote results are presented to the president who announces them to the membership. Ballots are retained until the results have been announced and a motion to destroy the ballots has been made and passed by the general membership. The oversight committee will be responsible for destroying the ballots by shredding.

- i. **Voting Cards:** Balloting may be conducted through the use of voting cards. During the general meeting, a distinctly colored voting card and a copy of the proposal(s), subject to vote, are distributed to each designated voting member. A firm count will be kept of the number of voting cards distributed. For the vote, the President reads the proposal to the membership and calls for a show of cards from those members voting "yea". At least two committee members count the voting cards being held up. The two committee members must agree on the final count. If the count is in question, then the committee members must recount the cards. The President then calls for a show of cards from those members voting "nay". At least two committee members count the voting cards being held up. The two committee members must agree on the final count. If the count is in question the committee members must recount the cards. If the total count of "yeas" and "nays" does not equal the total number of cards distributed, then the President must call for a show of cards for those members abstaining from the vote. At least two committee members count the voting cards being held up. The two committee members must agree on the final count. If the total count of "yeas", "nays" and abstentions does not equal the total number of cards distributed, then a misvote is declared and the entire vote must be retaken.
- j. **Candidate Withdrawal:** If a candidate for office withdraws from contention after the election has commenced, but before the results have been announced to the membership, the election proceeds as usual. If the withdrawn candidate garners the highest number of votes, the candidate with the second highest vote total wins the election. Once a candidate withdraws from an election, they are not eligible to be reinstated for that election.
- k. **Executive Council Tie Vote:** In the event of a tie vote for any open Executive Council position, the tie will be broken by a secret vote of the sitting members of the Executive Council. Such vote must take place no later than the next regularly scheduled Executive Council meeting following the general election in which the tie vote occurred.

III. **Committees:**

- a. **Term of Committee Chairs:** All Committee Chairs will serve for a one year term. Upon the end of that year the Association President-Elect determines who the new Committee Chairs will be for the coming year.
- b. **Budgets:** Committee Chairs will adhere to the annual budget the Executive Council approved at the beginning of the year. Committee Chairs may not exceed their budgets, nor change figures agreed upon during the budget session without prior approval of the Executive Council. Committee Chairs anticipating a shortfall may come before the Executive

Council to petition for a budget increase. Committee Chairs anticipating a surplus may volunteer funds to be transferred to another committee's budget.

- c. **Executive Council Meetings:** Committee Chairs will attend Executive Council meetings and submit a monthly committee report to the Council. If the Chair is unable to attend, they should send the Co-Chair or other committee member in their place. If no member can attend, then the monthly committee report should be electronically submitted to the Secretary beforehand so that it may be read into the minutes at the meeting. Once a committee's purpose has been fulfilled (e.g. Winter Conference) the Committee Chair will prepare and deliver the final committee report to the Council. Following that, the committee Chair's attendance at Council meetings is optional. Continued attendance is encouraged so that the fullest possible spectrum of membership is represented at the meetings.
- d. **Committee Records:** Committee Chairs will keep accurate and complete records of their tenure and pass those records on to the next Chair at the Annual Retreat. It is recommended that all records are saved to a CD and that no paper records are passed on to the new Chair.

IV. **Archiving of Association Documents:** The Secretary will be responsible for electronically saving all Association documents and making a monthly electronic backup of such documents. All such documents must be stored electronically in a manner which will allow easy access by all future Executive Councils. Any Association member who creates an Association related document must provide the Secretary with an electronic copy of the document. This would include all monthly committee reports, Treasure's reports and budget, meeting minutes, meeting agendas, etc.

V. **Professional Conduct:**

- a. **Non-Discrimination:** No person shall be excluded from participation in the Association, nor denied the benefits of membership, or otherwise discriminated against on the basis of race, color, religious creed, sex, age, national origin, ancestry, marital status, sexual orientation, past/present history of mental disorder, learning disability and/or physical disability.
- b. **Sexual Harassment:** Sexual harassment is forbidden by federal and state law and will not be tolerated by the Association. Members and guests are expected to adhere to a standard of conduct that is respectful and courteous to fellow members, guests and the general public.

c. **Removal of Executive Council Incumbent:**

- An Executive Council member can be removed from office due to negligence of duties, willingly failing to adhere to the Association Constitution and Bylaws, theft from the Association, failure to represent the Association in a professional manner, violation of the Association non-discrimination or sexual harassment policies or instances of verbal or physical abuse.
- Removal of an Executive Council member will be by secret vote of the Executive Council members who are not in violation of any of the afore mentioned transgressions.

VI. **Raffles:**

- a. **Procedures:** At least two CAPFAA members will preside over the drawing and announcing of a raffle prize winner. All raffle participants will have their name/ticket placed in a common container. The actual drawing may be done by a CAPFAA member, Chair person, previous raffle winner, guest of honor, etc. The individual so designated pulls the winning name/ticket, reviews it and then passes it on to the two presiding CAPFAA members. One of the presiding members then announces the winning name/ticket to the membership in attendance.
- b. **Winning:** The presiding members will remind the membership of the following guidelines prior to beginning the drawing. An individual must be present to win a raffle prize. If the first name/ticket pulled belongs to a participant who is not present, the name/ticket is discarded and a second name/ticket is pulled.

VII. **Event Registration:**

- a. **Fees:** The registration fees for each activity will be set by the Executive Council and appropriate Committee Chair, either at the Planning Retreat for known activities or at the first appropriate monthly meeting for new activities. Committee Chairs will not change the agreed upon registration fees without approval of the Executive Council.
- b. **Cancellation:** Cancellation and requests for refunds must be made in writing (including fax and email) to the appropriate Committee Chair by the deadline specified in the registration information. If these conditions are not met, no money will be refunded and registrants will be responsible for paying any balance still due on their registration. These same guidelines will be followed for vendors in regard to their exhibiting fees.

- c. **Deadlines:** The registration information for all events will include deadlines for on-time registration and cancellation. The actual deadline dates will be determined by the appropriate Committee Chair.
- d. **Non-Members:** CAPFAA sponsored events are open to CAPFAA members only, unless a non-member is invited as a guest of a member, speaker, or honored attendee. Eligible non-members wishing to attend must pay the membership fee to become a member of CAPFAA, as well as, pay the applicable registration fee for the event.
- e. **On-Site Registration:** Each committee will specify in the registration information whether on-site registration will or will not be available for a particular event.

VIII. Speakers, Presenters and Moderators:

- a. **Payment:** Professional financial aid trainers, who are not Association members, will not be paid for conducting training for the Association, although their travel expenses may be reimbursed if they are not routinely reimbursed for such expenses by their employer or speakers bureau. The Executive Council may authorize payment for trainers/entertainers if they are from outside the profession and require compensation. All requests for payment must be done by invoice.
- b. **Selection:** Committees are responsible for identifying speakers, presenters and moderators (referred to as “speakers” going forward) for committee functions. Chairpersons will share the proposed slate of speakers with the Executive Council for final approval prior to finalizing arrangements with the speaker. Once speakers are approved, substitutions will not be allowed unless a situation arises that prevents the confirmed speaker from performing the task (e.g. illness, work related commitment, etc.)
- c. **CAPFAA Members:** Committees wishing to hire CAPFAA members for NON financial aid purposes (e.g. entertainment, food preparation, etc.) will bring the request to Executive Council for discussion and decision.
- d. **Communication:** Committees will confirm speaking agreements with speakers in a timely fashion. They will provide the speaker with written acknowledgement of the day and time of the meeting, topic and scope of the session, likely number of attendees and any reimbursement arrangements. They will enquire as to the speaker’s equipment or copying needs and confirm handout arrangements. A thank you letter and any applicable Association feedback will be sent to the speaker following the engagement.

IX. Training Sites and Dates for Association Events:

- a. **Site Selection:** Training sites should be chosen throughout the state and conveniently located so that most members can make the session. Committees should evaluate cost, parking, handicap accessibility, room layouts and amenities when choosing a site.

- b. **Timing of Events:** When choosing a date for an event Committees should be sensitive to holidays, the common work schedules of the membership and to other state, regional and national activities.

X. Political Representation:

- At no time should any Executive Council member, Federal and State Relations Committee member or Association member act in a lobbying capacity while representing CAPFAA. CAPFAA members can act as in an advisory capacity for federal and state issues.
- The President and the Federal and State Relations Committee will be the only Association members approved to communicate with federal and state officials on behalf of the Association.
- All such communications must be approved by the Executive Council prior to release to the intended party.
- Any communications being sent to federal or state officials must be done in a manner which speaks for all member segments of CAPFAA, except when a particular issue is being addressed which relates to a subset of Association members.

XI. Association Charitable Giving:

- The Executive Council will choose only one established, regionally or nationally known charitable organization to donate Association funds to each year.
- Any CAPFAA member can bring a suggestion of a charitable organization to Executive Council for their consideration.
- Only the approved charity can be promoted to the membership via Association communication channels such as the newsletter, list-serve and Executive Council communiqués.

XII. Event Fee for CAPFAA Member Speakers/Presenters:

- If a CAPFAA member is invited to speak/present at a CAPFAA sponsored event and the member plans on attending the entire event, then the member must pay the full event fee.
- If a CAPFAA member is invited to speak/present at a CAPFAA sponsored event is attending the event only for the time they are to speak/present, then the member does not have to pay the event fee.
- If a CAPFAA member is invited to speak/present during a mealtime during the event then CAPFAA will pay for the member's meal.
- If a member is having their meal paid for by the Association, then the Association will notify the member in writing regarding Section II, A. 1. of the Connecticut Code of Conduct which speaks to the prohibition of certain compensation.

XIII. List serve Use:

- Use of the list serve is limited to CAPFAA members only.
- Any member posting to the CAPFAA list serve can only post content which is related to financial aid or higher education, e.g. job postings, trainings, Association news, etc.
- Associate members cannot use the list serve to promote their company's products or services, other than training open to all members of the Association.
- All content must comply with the Association's non-discrimination and sexual harassment policies.

Institutional Members:

First offense – Written warning sent by Executive Council to the particular member.

Second offense – Written notification to the member and their supervisor and/or voting member, that the member (the individual, not the institution) has lost their membership for the remainder of the year.

Associate Members:

First offense – Written warning sent by Executive Council to the particular member.

New Drafted Policies

XIV. Association Equipment/Property:

Laptops – The Association will provide the Treasurer and Secretary with laptops.

Laptops can only be used for Association business.

The Association will assume all responsibility for loss, theft or damage of the laptops.

When a new Treasurer or Secretary is installed, the prior incumbent will give the laptop to the new incumbent.

The Executive Council will determine when and if a laptop needs to be replaced.

If the Executive Council determines that a laptop should be replaced, then the Executive Council will ensure that the hard drive is "scrubbed" and the laptop is disposed of in accordance with established rules for the disposal of such equipment.

LCD Projector – The Association will provide the Vice President with an LCD projector.

The projector can only be used for Association business.

The Vice President may sign-out the projector to other Association members for use at Association events.

The Vice President will be responsible for tracking who has the projector and having it returned following the event it was used at.

The Association will assume all responsibility for loss, theft or damage of the projector.

When a new Vice President is installed, the prior incumbent will give the projector to the new incumbent.

The Executive Council will determine when and if the projector needs to be replaced.

If the Executive Council determines that the projector should be replaced, then the Executive Council will ensure that it is disposed of in accordance with established rules for the disposal of such equipment.

